

# **Exhibit B**

## UNITED STATES DISTRICT COURT

for the

District of Massachusetts

United States of America )

v. )

Ross McLellan )

Case No. 16-cr-10094

*Defendant* )**SUBPOENA TO PRODUCE DOCUMENTS, INFORMATION, OR  
OBJECTS IN A CRIMINAL CASE**

To: State Street Bank and Trust

*(Name of person to whom this subpoena is directed)*

**YOU ARE COMMANDED** to produce at the time, date, and place set forth below the following books, papers, documents, data, or other objects:

See "Attachment A"

Place: Clerk's Office  
 United States District Court, District of Massachusetts  
 One Courthouse Way, Boston, MA 02210

Date and Time:

Certain provisions of Fed. R. Crim. P. 17 are attached, including Rule 17(c)(2), relating to your ability to file a motion to quash or modify the subpoena; Rule 17(d) and (e), which govern service of subpoenas; and Rule 17(g), relating to your duty to respond to this subpoena and the potential consequences of not doing so.

*(SEAL)*

Date: \_\_\_\_\_

CLERK OF COURT

*Signature of Clerk or Deputy Clerk*

The name, address, e-mail, and telephone number of the attorney representing *(name of party)* \_\_\_\_\_  
 Ross McLellan \_\_\_\_\_, who requests this subpoena, are:

Martin G. Weinberg, Esq.  
 20 Park Plaza, Suite 1000, Boston, MA 02116

**Notice to those who use this form to request a subpoena**

Before requesting and serving a subpoena pursuant to Fed. R. Crim. P. 17(c), the party seeking the subpoena is advised to consult the rules of practice of the court in which the criminal proceeding is pending to determine whether any local rules or orders establish requirements in connection with the issuance of such a subpoena. If no local rules or orders govern practice under Rule 17(c), counsel should ask the assigned judge whether the court regulates practice under Rule 17(c) to 1) require prior judicial approval for the issuance of the subpoena, either on notice or ex parte; 2) specify where the documents must be returned (e.g., to the court clerk, the chambers of the assigned judge, or counsel's office); and 3) require that counsel who receives produced documents provide them to opposing counsel absent a disclosure obligation under Fed. R. Crim. P. 16.

Please note that Rule 17(c) (attached) provides that a subpoena for the production of certain information about a victim may not be issued unless first approved by separate court order.

Case No. 16-cr-10094

**PROOF OF SERVICE**

This subpoena for *(name of individual and title, if any)* \_\_\_\_\_  
 was received by me on *(date)* \_\_\_\_\_.

☐ I served the subpoena by delivering a copy to the named person as follows: \_\_\_\_\_

\_\_\_\_\_ on *(date)* \_\_\_\_\_; or

☐ I returned the subpoena unexecuted because: \_\_\_\_\_

Unless the subpoena was issued on behalf of the United States, or one of its officers or agents, I have also  
 tendered to the witness fees for one day's attendance, and the mileage allowed by law, in the amount of

\$ \_\_\_\_\_.

My fees are \$ \_\_\_\_\_ for travel and \$ \_\_\_\_\_ for services, for a total of \$ 0.00.

I declare under penalty of perjury that this information is true.

Date: \_\_\_\_\_

\_\_\_\_\_  
*Server's signature*

\_\_\_\_\_  
*Printed name and title*

\_\_\_\_\_  
*Server's address*

Additional information regarding attempted service, etc.:

**Federal Rule of Criminal Procedure 17 (c), (d), (e), and (g) (Effective 12/1/08)**

**(c) Producing Documents and Objects.**

**(1) In General.** A subpoena may order the witness to produce any books, papers, documents, data, or other objects the subpoena designates. The court may direct the witness to produce the designated items in court before trial or before they are to be offered in evidence. When the items arrive, the court may permit the parties and their attorneys to inspect all or part of them.

**(2) Quashing or Modifying the Subpoena.** On motion made promptly, the court may quash or modify the subpoena if compliance would be unreasonable or oppressive.

**(3) Subpoena for Personal or Confidential Information About a Victim.** After a complaint, indictment, or information is filed, a subpoena requiring the production of personal or confidential information about a victim may be served on a third party only by court order. Before entering the order and unless there are exceptional circumstances, the court must require giving notice to the victim so that the victim can move to quash or modify the subpoena or otherwise object.

**(d) Service.** A marshal, a deputy marshal, or any nonparty who is at least 18 years old may serve a subpoena. The server must deliver a copy of the subpoena to the witness and must tender to the witness one day's witness-attendance fee and the legal mileage allowance. The server need not tender the attendance fee or mileage allowance when the United States, a federal officer, or a federal agency has requested the subpoena.

**(e) Place of Service.**

**(1) In the United States.** A subpoena requiring a witness to attend a hearing or trial may be served at any place within the United States.

**(2) In a Foreign Country.** If the witness is in a foreign country, 28 U.S.C. § 1783 governs the subpoena's service.

**(g) Contempt.** The court (other than a magistrate judge) may hold in contempt a witness who, without adequate excuse, disobeys a subpoena issued by a federal court in that district. A magistrate judge may hold in contempt a witness who, without adequate excuse, disobeys a subpoena issued by that magistrate judge as provided in 28 U.S.C. § 636(e).

**ATTACHMENT A**

1. Unredacted versions of certain emails and documents listed on a two hundred sixty-three page State Street privilege log bearing bates-stamp numbers SS1\_01324135 - SS1\_01324397, as described in the following Table:

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
1	10/24/2013 11:54:22 AM	Antonellis, Joseph+; Carp, Jefferey+; Bonn, Nick+; Smit, Stephen+; Coulter, Cuan+; Oliver, Robin+; Woodard, Bryan*+; Norris, Jonathan*+; Orton, Simon*+; Bailey Marshall+; Newell, Kim+; Phelam, David*+	Phelam, David*+; Lovejoy, Nikki+	Tantam, Mark+; McLaurent, Stuart+		Attorney-Client	Email discussing information necessary for regulation by bank examiner with Phelan, David*+ and Orton, Simon*+.*.	SS1_01277825
2	11/7/2013 11:00:28 AM	Durrant, Chris+; Orton, Simon*+; Tantam, Mark+	Orton, Simon*+; Durrant, Chris+; Tantam, Mark+	Lovejoy, Niki+; Tantam, Mark+; Pope, Helen+; Hayes, Oliver+		Attorney-Client; Work -Product	Draft document discussing information necessary for regulation by bank examiner with Orton, Simon*+.*.	SS1_01277849 -- SS1_1277857
3	11/7/2013 6:14:54 PM	Hamrogue; Peter+	Orton, Simon*+; Durrant, Chris+; Tantam, Mark+	Lovejoy, Niki+; Tantam, Mark+; Pope, Helen+; Hayes, Oliver+; Durrant, Chris+; Floyd, Kelly+		Attorney-Client; Bank Examiner; Work -Product	Email discussing information necessary for regulation by bank examiner with Phelan, David*+ and Orton, Simon*+.*.	SS1_01278167
4	11/6/2013 9:37:16 AM	Woodard, Bryan*+	PWC			Attorney-Client	Letter discussing information necessary for transition management, to Woodard, Bryan*.	SS1_01278183 -- SS1_01278189
5	11/18/2013 10:06:50 AM	Woodard, Bryan*+	Freshfields			Attorney-Client	Chart discussing information necessary for transition management controls review draft, to Woodard, Bryan*+; Paul McGee*+; Mckay, Melissa*+; Norris, Jonathan*+.	SS1_01278207 -- SS1_01278213

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
6	11/18/2013 10:35:34 AM	Durrant, Chris+	Orton, Simon*+	Lovejoy, Nikki+; Tantam, Mark+; Pope, H+; Hayes, Oliver+; Norris, Jonathan*+		Attorney-Client	Email discussing transition management report draft from, Orton, Simon*+.*.	SS1_01278247
7	11/7/2013 6:14:54 PM	Durrant, Chris+	Orton, Simon*+	Lovejoy, Nikki+; Tantam, Mark+; Pope, H+; Hayes, Oliver+; Norris, Jonathan*+		Attorney-Client	Transition management report draft from, Orton, Simon*+.*.	SS1_01278248 -- SS1_01278316
8	11/7/2013 6:14:54 PM	Orton, Simon*+	Durrant, Chris+	Lovejoy, Nikki+; Tantam, Mark+; Pope, H+; Hayes, Oliver+; Norris, Jonathan*+		Attorney-Client	Email to counsel, Orton, Simon*+. discussing information necessary for transition management program.	SS1_01278318 -- SS1_01278319
9	11/7/2013 6:14:54 PM	Durrant, Chris+	Orton, Simon*+	Lovejoy, Nikki+; Tantam, Mark+; Pope, H+; Hayes, Oliver+; Norris, Jonathan*+		Attorney-Client	Email from counsel, Orton, Simon*+. discussing information necessary for transition management program.	SS1_01278355 -- SS1_01278356
10	11/7/2013 6:14:54 PM	Durrant, Chris+	Orton, Simon*+	Lovejoy, Nikki+; Tantam, Mark+; Pope, H+; Hayes, Oliver+; Norris, Jonathan*+		Attorney-Client	Draft document discussing information for transition management from counsel Orton, Simon*+.*.	SS1_01278357 -- SS1_01278375
11	11/7/2013 6:14:54 PM	Orton, Simon*+; Durrant, Chris+	Tantam, Mark+	Lovejoy, Nikki+; Tantam, Mark+; Pope, H+; Hayes, Oliver+; Norris, Jonathan*+		Attorney-Client	Email to counsel, requesting legal advice of Orton, Simon*+. discussing information necessary for transition management program.	SS1_01278376 -- SS1_1278378

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
12	11/7/2013 6:14:54 PM	Orton, Simon*+	Durrant, Chris+	Lovejoy, Nikki+; Tantam, Mark+; Pope, H+; Hayes, Oliver+; Norris, Jonathan*+		Attorney-Client	Email to counsel, requesting legal advice of Orton, Simon*+. discussing information necessary for transition management program.	SS1_01278383 -- SS1_01278386
13	11/7/2013 6:14:54 PM	Durrant, Chris+	Orton, Simon*+	Lovejoy, Nikki+; Tantam, Mark+; Pope, H+; Hayes, Oliver+; Norris, Jonathan*+; Wortley, Paul+		Attorney-Client	Email from counsel, reflecting legal advice of Orton, Simon*+. discussing information necessary for transition management program.	SS1_01278394 -- SS1_01278396
14	11/7/2013 6:14:54 PM	Lovejoy, Nikki+	Norris, Jonathan*+	Orton, Simon*+; Norris, Jonathan*+		Attorney-Client	Email from counsel, reflecting legal advice of Norris, Jonathan*+ discussing information necessary for transition management program.	SS1_01278468
15	11/7/2013 6:14:54 PM	Lovejoy, Nikki+	Norris, Jonathan*+	Orton, Simon*+; Norris, Jonathan*+		Attorney-Client	Draft document discussing information for transition management from counsel Orton, Simon*+.*.	SS1_01278469 -- SS1_01278520

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
16	11/7/2013 6:14:54 PM	Lovejoy, Nikki+; Durrant, Chris+	Hayes, Oliver+	Pope, Hellen*+; Norris, Jonathan*+; Scully, Anderson+; Woodard, bryan*+; Oliver, Robin+; Orton, Simon*+; Wortley, Paul+		Attorney-Client	Email to counsel, Norris, Jonathan*+; Woodard, Bryan*+; Orton, Simon*+. requesting legal advice of discussing information necessary for transition management program.	SS1_01278522
17	11/7/2013 6:14:54 PM	Lovejoy, Nikki+; Durrant, Chris+	Hayes, Oliver+	Pope, Hellen*+; Norris, Jonathan*+; Scully, Anderson+; Woodard, bryan*+; Oliver, Robin+; Orton, Simon*+; Wortley, Paul+		Attorney-Client	Draft document discussing information for transition management requesting legal advice from counsel Norris, Jonathan*+; Woodard, Bryan*+; Orton, Simon*+.	SS1_01278523 -- SS1_01278526
18	11/7/2013 6:14:54 PM	Hayes, Oliver+; Durrant, Chris+	Lovejoy, Nikki+	Pope, Hellen*+; Norris, Jonathan*+; Scully, Anderson+; Woodard, bryan*+; Oliver, Robin+; Orton, Simon*+; Wortley, Paul+; McLaren, Stuart+; Tantam, Mark+		Attorney-Client	Email to counsel, Norris, Jonathan*+; Woodard, Bryan*+; Orton, Simon*+. requesting legal advice of discussing information necessary for transition management program.	SS1_01278527 -- SS1_01278528



Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
19	11/7/2013 6:14:54 PM	Norris, Jonathan*+; Lovejoy, Nikki*+; Durrant, Chris*+; Woodard, Bryan*+; Phelan, David*+; Oliver, Robin*+; Pope, Hellen*+; Scully, Anderson*+; Wortley, Paul*+; Hayes, Oliver+	Norris, Jonathan*+; Durrant, Chris+	Norris, Jonathan*+; Orton, Simon*+		Attorney-Client	Email from counsel, Norris, Jonathan*+; to Woodard, Bryan*+; Orton, Simon*+; Phelan, David*+; Wortley, Paul*+ reflecting legal advice of Norris, Jonathan*+ discussing information necessary for transition management program.	SS1_01278530 -- SS1_01278531
20	11/7/2013 6:14:54 PM	Lovejoy, Nikki*+; Durrant, Chris+	Hayes, Oliver+	Pope, Helen*+; Norris, Jonathan*+; Scully, Anthony*+; Woodard, Bryan*+; Oliver, Robin*+; Orton, Simon*+; Wortley, Paul*+		Attorney-Client	Email to counsel, Norris, Jonathan*+; Woodard, Bryan*+; Orton, Simon*+; Wortley, Paul*+ reflecting request for legal advice discussing information necessary for transition management program.	SS1_01278532
21	11/7/2013 6:14:54 PM	Lovejoy, Nikki*+; Durrant, Chris+	Hayes, Oliver+	Pope, Helen*+; Norris, Jonathan*+; Scully, Anthony*+; Woodard, Bryan*+; Oliver, Robin*+; Orton, Simon*+; Wortley, Paul*+		Attorney-Client	Draft document discussing information for transition management sent to counsel Norris, Jonathan*+; Woodard, Bryan*+; Orton, Simon*+; Wortley, Paul*+ regarding request for legal advice.	SS1_01278533 -- SS1_01278536

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
22	11/7/2013 6:14:54 PM	Phelan, David*+; Lovejoy, Nikki+; Durrant, Chris+	Durrant, Chris+; Oliver, Hayes+	Pope, Helen+; Lovejoy, Nikki+; McLaren, Stuart+; Tantam, Mark+; Hayes, Oliver+; Norris, Jonathan*+; Oliver, Robin+; Orton, Simon*+; Wortley, Paul*+; Scully, Anthony+; Woodard, Bryan*+		Attorney-Client	Email to counsel, Phelan, David*+; Orton, Simon*+.; reflecting request for legal advice discussing information necessary for transition management program.	SS1_01278538 -- SS1_01278539
23	11/7/2013 6:14:54 PM	Durrant, Chris+; Phelan, David*+	Durrant, Chris+; Oliver, Hayes+	Pope, Helen+; Lovejoy, Nikki+; McLaren, Stuart+; Tantam, Mark+; Hayes, Oliver+; Norris, Jonathan*+; Oliver, Robin+; Orton, Simon*+; Wortley, Paul*+; Scully, Anthony+; Woodard, Bryan*+		Attorney-Client	Draft document to counsel, Phelan, David*+; Orton, Simon*+.; reflecting request for legal advice discussing information necessary for transition management program.	SS1_01278540 -- SS1_01278602
24	11/7/2013 6:14:54 PM	Durrant, Chris+; Phelan, David*+	Durrant, Chris+; Oliver, Hayes+	Pope, Helen+; Lovejoy, Nikki+; McLaren, Stuart+; Tantam, Mark+; Hayes, Oliver+; Norris, Jonathan*+; Oliver, Robin+; Orton, Simon*+; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+		Attorney-Client	Email to counsel, Norris, Jonathan*+; Orton, Simon*+.; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+ reflecting request for legal advice discussing information necessary for transition management program.	SS1_01278609 -- SS1_01278610

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
25	11/7/2013 6:14:54 PM	Durrant, Chris+; Phelan, David*+	Durrant, Chris+; Oliver, Hayes+	Pope, Helen+; Lovejoy, Nikki+; McLaren, Stuart+; Tantam, Mark+; Hayes, Oliver+; Norris, Jonathan*+; Oliver, Robin+; Orton, Simon*+; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+		Attorney-Client	Draft document to counsel, Norris, Jonathan*+; Orton, Simon*+; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+ reflecting request for legal advice discussing information necessary for transition management program.	SS1_01278611 -- SS1_01278614
26	11/7/2013 6:14:54 PM	Hayes, Oliver+; Durrant, Chris+; Phelan, David*+; Lovejoy, Nikki+	Durrant, Chris+; Oliver, Hayes+	Pope, Helen+; Lovejoy, Nikki+; McLaren, Stuart+; Tantam, Mark+; Hayes, Oliver+; Norris, Jonathan*+; Oliver, Robin+; Orton, Simon*+; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+		Attorney-Client	Email to counsel, Norris, Jonathan*+; Orton, Simon*+; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+ reflecting request for legal advice discussing information necessary for transition management program.	SS1_01278615 -- SS1_01278617
27	11/7/2013 6:14:54 PM	Hayes, Oliver+; Durrant, Chris+; Phelan, David*+; Lovejoy, Nikki+	Durrant, Chris+; Oliver, Hayes+	Pope, Helen+; Lovejoy, Nikki+; McLaren, Stuart+; Tantam, Mark+; Hayes, Oliver+; Norris, Jonathan*+; Oliver, Robin+; Orton, Simon*+; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+		Attorney-Client	Draft document to counsel, Norris, Jonathan*+; Orton, Simon*+; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+ reflecting request for legal advice discussing information necessary for transition management program.	SS1_01278618 -- SS1_01278697

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
28	11/7/2013 6:14:54 PM	Hayes, Oliver+; Durrant, Chris+; Phelan, David*+; Lovejoy, Nikki+	Durrant, Chris+; Oliver, Hayes+	Pope, Helen+; Lovejoy, Nikki+; McLaren, Stuart+; Tantam, Mark+; Norris, Jonathan*+; Oliver, Robin+; Orton, Simon*+; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+		Attorney-Client	Email to counsel, Norris, Jonathan*+; Orton, Simon*+; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+ reflecting request for legal advice discussing information necessary for transition management program.	SS1_01278699
29	11/7/2013 6:14:54 PM	Durrant, Chris+; Hayes, Oliver+; Norris, Jonathan*+; Phelan, David*+; Lovejoy, Nikki+	Norris, Jonathan*+; Durrant, Chris+; Oliver, Hayes+	Pope, Helen+; Lovejoy, Nikki+; McLaren, Stuart+; Tantam, Mark+; Norris, Jonathan*+; Oliver, Robin+; Orton, Simon*+; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+		Attorney-Client	Email from counsel, Norris, Jonathan*+; to counsel Orton, Simon*+; Phelan, David*+; Wortley, Paul*+; Woodard, Bryan*+ reflecting request for legal advice discussing information necessary for transition management program.	SS1_01278703 -- SS1_01278705
30	10/24/2013 11:54:22 AM	Lovejoy, Nikki+; Tantam, Mark+; Durrant, Chris+; Graham, Dominic+;	Phelan, David*+	Orton, Simon*+		Attorney-Client; Bank Examiner; Work - Product	Email discussing information necessary for regulation by bank examiner with Phelan, D.* and Orton, S.* regarding an FSA audit and in anticipation of litigation.	SS1_0127881

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
31	11/7/2013 11:00:28 AM					Attorney-Client; Bank Examiner; Work - Product	Draft document discussing information necessary for regulation by bank examiner with Phelan, D.* and Orton, S.* regarding FSA audit and in anticipation of litigation.	SS1_01278812 -- SS1_1278827
32	11/7/2013 6:14:54 PM	Phelan, David*+; Durrant, Chris +; Tantam, Mark	Tantam, Mark+; Phelan, David*	Orton, Simon*+		Attorney-Client; Bank Examiner; Work - Product	Email discussing information necessary for regulation by bank examiner with Phelan, D.* and Orton, S.* regarding FSA audit and in anticipation of litigation.	SS1_01278829 -- SS1_01278832
33	11/6/2013 9:37:16 AM	Norris, Jonathan*+; Hayes, Oliver*; Durrant, Chris; Phelan, David*; Lovejoy, Nikki	Durrant, Chris+; Norris, Jonathan*; Oliver, Hayes*;	Pope, Helen+; Lovejoy, Nikki+; McClaren, Stuart+; Tantam, Mark+; Oliver, Robin+; Orton, Simon*+; Phelan, David*+; Woodward, R. B.*+; Wortley, Paul+; Norris, Jonathan*; Hayes, Oliver*		Attorney-Client; Bank Examiner; Work - Product	Email discussing information necessary for regulation by bank examiner with Phelan, D.*, Norris, J.* regarding FSA audit and in anticipation of litigation.	SS1_01278833 -- SS1_01278836
34	11/18/2013 10:06:50 AM	Durrant, Chris+; Norris, Jonathan*; Hayes, Oliver*; Phelan, David*; Lovejoy, Nikki	Orton, Simon*+; Durrant, Chris; Norris, Jonathan*+; Oliver, Hayes*;	Pope, Helen+; Lovejoy, Nikki+; McClaren, Stuart+; Tantam, Mark+; Oliver, Robin+; Orton, Simon*+; Phelan, David*+; Woodward, R. B.*+; Wortley, Paul+		Attorney-Client; Bank Examiner; Work - Product	Email discussing information necessary for regulation by bank examiner with Norris, J* and Orton, S.* regarding FSA audit and in anticipation of litigation.	SS1_01278838 -- SS1_01278842

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
35	11/18/2013 10:35:34 AM	Orton, Simon*+; Hayes, Oliver*+, Newell, Kim	Newell, Kim+; Diette, Barbara	Norris, Jonathan*+; Carlin, Chris+		Attorney-Client; Bank Examiner; Work - Product	Email discussing information necessary for regulation by bank examiner with Norris, J*, Hayes, O.*, Woodward, R.B.* and Orton, S.* regarding FSA audit and in anticipation of litigation.	SS1_01279078
36	11/7/2013 6:14:54 PM					Attorney-Client; Bank Examiner; Work - Product	Draft document discussing information necessary for regulation by bank examiner with Norris, J*, Hayes, O.*, Woodward, R.B.* and Orton, S.* regarding FSA audit and in anticipation of litigation.	SS1_01279079 -- SS1_01279083
37	11/7/2013 6:14:54 PM	Durrant, Chris+	Hayes, Oliver*+;	Orton, Simon*+		Attorney-Client; Bank Examiner; Work - Product	Email discussing information necessary for regulation by bank examiner with Hayes, O.* and Orton, S.* regarding FSA audit and in anticipation of litigation.	SS1_01279138
38	11/7/2013 6:14:54 PM					Attorney-Client; Bank Examiner; Work - Product	Draft document discussing information necessary for regulation by bank examiner with Orton, S.* and Hayes, O.* regarding FSA audit and in anticipation of litigation.	SS1_01279139 -- SS1_01279146

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
39	11/7/2013 6:14:54 PM					Attorney-Client; Bank Examiner; Work - Product	Draft document discussing information necessary for regulation by bank examiner with Orton, S.* and Hayes, O.* regarding FSA audit and in anticipation of litigation.	SS1_01279147 -- SS1_01279149
40	11/7/2013 6:14:54 PM	McLellan, Ross+; Bryant, Tom; McKay, Melissa*	Bryant, Tom+; Pennings, Edward+; Carlin, Chris+; McLellan, Ross; Paul, Simone*; Beck Krystyna	Woodward, R.B.*; Carlin, Chris; Bryant, Tom; Bernsten, Even; Pennings, Edward; Bliss, Stephen; Manzi, Vincent; Scully, Anthony; McCormack, Justin*		Attorney-Client	Rendering legal advice of McKay, M.*, Paul, S.*, Beck, K*, Woodward, R.B.*, Bliss, S.* and McCormack, J.* regarding transition agreement terms.	SS1_01279150 -- SS1_01279151
41	11/7/2013 6:14:54 PM	McLellan, Ross+; Pennings, Edward; Paul, Simone*; Beck, Krystyna*Pennings, Edward+; McLellan, Ross; McKay, Melissa*		Woodward, R.B.*; Carlin, Chris; Bryant, Tom; Bernsten, Even; Pennings, Edward; Bliss, Stephen; Manzi, Vincent; Scully, Anthony; McCormack, Justin*		Attorney-Client	Email discussing request for legal advice of McKay, M.*, Paul, S.* Beck, K*, Woodward, R.B.*, Bliss, S.* and McCormack, J.* * regarding transition agreement terms.	SS1_01279152 -- SS1_01279154
42	11/7/2013 6:14:54 PM	Pennings, Edward+; McLellan, Ross; Beck, Krystyna*	McLellan, Ross+; Pennings, Edward; McKay, Melissa*			Attorney-Client	Email in connection with seeking legal advice from McKay, M.*, Paul, S.* and Beck, K* regarding transition agreements.	SS1_01279155 -- SS1_01279156
43	11/7/2013 6:14:54 PM	McLellan, Ross+; Pennings, Edward	Pennings, Edward+; McLellan, Ross			Attorney-Client	Email in connection with seeking legal advice from Paul, S.* and Beck, K* regarding transition agreements.	SS1_01279157 -- SS1_01279159

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
44	11/7/2013 6:14:54 PM	McLellan, Ross+; Pennings, Edward+; Woodward, R.B.*; Paul, Simone*	Pennings, Edward+; McLellan, Ross; Paul, Simone*; Beck, Krystyna*; Woodward, R.B.*	Woodward, R.B.*; McKay, Melissa*; Lewis, Sarah Jane*; Beck, Krystyna*; Bernstein, Even; DeVolder, Gregg; Carlin, Chris; Paul, Simone*; Bryant, Tom; Scully, Anthony; Pennings, Edward		Attorney-Client	Email in connection with seeking legal advice from Paul, S.*, Woodward, R.B.*, McKay, M.*, Lewis, S.J.* and Beck, K* regarding transition agreements.	SS1_01279160 -- SS1_01279168
45	11/7/2013 6:14:54 PM					Attorney-Client	Draft agreement in connection with seeking legal advice from Paul, S.*, Woodward, R.B.*, McKay, M.*, Lewis, S.J.* and Beck, K* regarding transition agreements.	SS1_01279169 -- SS1_01279188
46	11/7/2013 6:14:54 PM	McGee, Paul+; Pennings, Edward	Beck, Krystyna*+; McGee, Paul; Pennings Edward	Boomgaardt, Rick; Beck, Krystyna*		Attorney-Client	Email in connection with seeking legal advice from Beck, K* regarding transition agreements.	SS1_01279189 -- SS1_01279191
47	11/7/2013 6:14:54 PM	Paul, Simone*+; Martin, Steve+; Pennings, Edward	Pennings, Edward+; Paul, Simone*	Beck, Krystyna*+; Boomgaardt, R.+; Cieslok, I.*+		Attorney-Client	Email rendering legal advice from Paul, S.*, Cieslok, I.* and Beck, K* regarding transition agreements.	SS1_01279192
48	11/7/2013 6:14:54 PM	Paul, Simone*+; Martin, Steve+; Vernon, Samina; McCrone, Mark	Vernon, Samina+; Paul, Simone*; Martin, Steve; Buckley, Killian; Mark, McCrone	Pennings, Edward+; Vernon, Samina; Boomgaardt, Rick; McCrone, Mark; Kashif, Darr; Buckley, Killian; Kender, Gareth		Attorney-Client	Email discussing the legal advice of Paul, S.* regarding transition agreement terms.	SS1_01279193 -- SS1_01279197
49	11/7/2013 6:14:54 PM	Pennings, Edward+; Vernon, Samina; Paul, Simone*	Waller, Cassie+; Paul, Simone*; Vernon, Samina; Buckley, Killian	Boomgaardt, Rick; Waller, Cassie; Martin, Steve		Attorney-Client	Email rendering legal advice of Paul, S.* regarding transition agreement terms.	SS1_01279198 -- SS1_01279199



Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
50	11/7/2013 6:14:54 PM	Pennings, Edward+; Paul, Simone*; Vernon, Samina	Waller, Cassie+; Paul, Simone*; Vernon, Samina; Buckley, Killian	Boomgaardt, Rick; Waller, Cassie; Martin, Steve		Attorney-Client	Email requesting legal advice of Paul, S.* regarding transition agreement terms.	SS1_01279200 -- SS1_01279201
51	11/7/2013 6:14:54 PM	Boomgaardt, Rick+; Martin, Steve+	Pennings, Edward+; Boomgaardt, Rick	Paul, Simone*+; Vernon, Samina+; Waller, Cassie; Pennings, Edward		Attorney-Client	Email requesting legal advice of Paul, S.* regarding transition agreement terms.	SS1_01279202
52	11/7/2013 6:14:54 PM	Martin, Steve+; Boomgaardt, Rick+	Pennings, Edward+; Martin, Steve	Vernon, Samina+; Waller, Cassie+; Pennings, Edward; Paul, Simone*		Attorney-Client	Email requesting legal advice of Paul, S.* regarding transition agreement terms.	SS1_01279203
53	11/7/2013 6:14:54 PM	Pennings, Edward; Boomgaardt, Rick; Martin, Steve	Boomgaardt, Rick+; Pennings, Edward; Martin, Steve; Buckley, Killian	Pennings, Edward; Vernon, Samina; Waller, Cassie; Paul, Simon*		Attorney-Client	Email requesting legal advice of Paul, S.* regarding transition agreement terms.	SS1_01279204 -- SS1_01279205
54	11/7/2013 6:14:54 PM	Norris, Jonathan*+; McLellan, Ross	McLellan, Ross+; Pennings, Edward	Leaden, Mark+; Hansen, Mark; Boomgaardt, Rick		Attorney-Client	Email providing information for the purpose of rendering legal advice of Norris, J. regarding transition agreement terms.	SS1_01279206 -- SS1_01279207
55	11/7/2013 6:14:54 PM	Pennings, Edward+; Paul, Simone*; Norris, Jonathan*	Norris, Jonathan*; Lewis, Sarah*	Poulton, Michael*		Attorney-Client	Email rendering legal advice of Norris, J. regarding transition agreement terms.	SS1_01279208 -- SS1_01279209
56	11/7/2013 6:14:54 PM	Norris, Jonathan*+; Paul, Simone*+; Pennings, Edward	Pennings, Edward; Waller, Cassie; Butler, Anita	Waller, Cassie+; McGee, Paul+; Boomgaardt, Rick+; Norris, Jonathan*		Attorney-Client	Email rendering legal advice of Norris, J. and Paul, S.* regarding transition agreement terms.	SS1_01279210 -- SS1_01279212
57	11/7/2013 6:14:54 PM	Pennings, Edward+; Paul, Simone*+; Norris, Jonathan*; Lewis, Sarah*; McGee, Paul; Waller, Cassie	Norris, Jonathan*; Pennings, Edward; Paul, Simone*; Lewis, Sarah*	Waller, Cassie+; McGee, Paul+; Boomgaardt, Rick+; Norris, Jonathan*+; Poulton Michael*		Attorney-Client	Email requesting legal advice of Norris, J.* regarding transition agreement terms.	SS1_01279213

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
58	11/7/2013 6:14:54 PM	Sarah, Lewis*+; Norris, Jonathan*+; McGee, Paul+; Waller, Cassie+; Pennings, Edward	Pennings, Edward+; Lewis, Sarah*	Poulton, Michael*+		Attorney-Client	Email rendering legal advice of Lewis, S.*, Norris, J.* and Poulton, M.* regarding transition agreement terms.	SS1_01279214
59	11/7/2013 6:14:54 PM	Norris, Jonathan*+; Pennings, Edward+; McGee, Paul; Waller, Cassie; Lewis, Sarah*; Poulton, Michael*; Paul, Simone*; Griffen, Brain; Williams, Andrew; Naughton, C.; Butler, Anita	Lewis, Sarah*+; Norris, Jonathan*; McGee, Paul; Pennings, Edward; Butler, Anita	Poulton, Michael*; Pennings, Edward; Boomgaardt, Rick; Waller, Cassie		Attorney-Client	Email rendering legal advice of Lewis, S.*, Norris, J.*, and Poulton, M.* regarding draft conflict policy terms.	SS1_01279215 -- SS1_01279217
60	11/7/2013 6:14:54 PM	Scully, Anthony+; Pennings, Edward+; McGee, Paul+; Norris, Jonathan; Ralph, Nicholas; Waller, Cassie; Sokola, Denisa*	Waller, Cassie+; Scully, Anthony; Pennings, Edward; Norris, Jonathan*; McGee, Paul; Lewis, Sarah*	Allen, Tarnya+; Scully, Anthony; McGee, Paul		Attorney-Client	Email rendering legal advice of Norris, J.*, Sokolova, D.* and Lewis, S.* regarding draft conflict policy terms.	SS1_01279218 -- SS1_01279220
61	11/7/2013 6:14:54 PM	Hadfield, Sharon+; Durrant, Chris+; Paul, Simone*; Poulton, Michael*; Lewis, Sarah*	Norris, Jonathan*+, Poulton, Michael*; Paul, Simone*; McGee, Paul	Gregson, Micahael+; Hayes, Oliver+; Sunomu, Rafeal*+; Graham, Dominic+; Greenaway, Abigail; Beck, Krystyna*; Lewis, Sarah*; Pennings, Edward; Gallagher, Paul; Martin, Chris		Attorney-Client; Bank Examiner; Work - Product	Email rendering legal advice of Norris, J.*, Poulton, M.*, Paul, S.*, Lewis, S.*, Sunmonu, R.* and Beck, K.* regarding transition agreements and in anticipation of litigation.	SS1_01279277 -- SS1_01279280
62	11/7/2013 6:14:54 PM	Allen, Tarnya+; Pennings, Edward	Paul, Simone*	Lewis, Sarah Jane*; Allen, Tarnya; Ralph, Nicholas		Attorney-Client; Bank Examiner; Work - Product	Email rendering legal advice of Paul, S.* and Lewis, S.J.* regarding transition agreements and in anticipation of litigation.	SS1_01279281

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
63	11/7/2013 6:14:54 PM					Attorney-Client; Bank Examiner; Work - Product	Transition agreement in connection with seeking legal advice of Paul, S.* and Lewis, S.J.* regarding transition agreements and in anticipation of litigation.	SS1_01279282 -- SS1_01279308
64	11/7/2013 6:14:54 PM	Pennings, Edwards+; Martin, Chris+	Paul, Simone*	Paul, S.*		Attorney-Client	Email rendering legal advice of Paul, S.* regarding transition agreements and in anticipation of litigation.	SS1_01279309
65	11/7/2013 6:14:54 PM					Attorney-Client	Transition agreement rendering legal advice of Paul, S.* regarding transition agreements and in anticipation of litigation.	SS1_01279310 -- SS1_01279337
66	11/7/2013 6:14:54 PM	Phelan, David*+; Tantam, Mark+; Lovejoy, Nikki; Durrant, Chris; Graham, Dominic	Orton, Simon*+; Phelan, David*; Tantam, Mark	Orton, Simon*		Attorney-Client	Email rendering legal advice of Orton, S.* and Phelan, D.* regarding transition agreements and in anticipation of litigation.	SS1_01279339 -- SS1_01279340
67	11/7/2013 6:14:54 PM	Orton, Simon*+; Hayes, Oliver*+, Newell, Kim	Orton, Simon*	Orton, S.*		Attorney-Client	Email rendering legal advice of Orton, S.* and Phelan, D.* regarding transition agreements.	SS1_01279349
68	11/7/2013 6:14:54 PM			Orton, S.*		Attorney-Client; Bank Examiner; Work - Product	Letter discussing information necessary for regulation by bank examiner with Orton, S.* regarding FSA compliance and in anticipation of litigation.	SS1_01279350 -- SS1_01279364

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
69	12/10/2013 12:45	Litigation file	Wortley, P.*+			Attorney-Client; Work Product	Document reflecting thoughts and impressions of Wortley, P.*+ regarding interview memo and in anticipation of litigation.	
70	12/10/2013 12:46	Litigation file	Hayes, O.+			Attorney-Client; Work Product	Document reflecting thoughts and impressions of Wortley, P.*+;Orton, S.*+ regarding interview memo and in anticipation of litigation.	
71	12/10/2013 12:47	Litigation file	Wortley, P.*+			Attorney-Client; Work Product	Document reflecting thoughts and impressions of Orton, S.*+;Norris, J.*+;Woodard, R. Bryan*+ regarding interview memo and in anticipation of litigation.	
72	12/10/2013 12:48	Litigation file	Wortley, P.*+			Attorney-Client; Work Product	Document reflecting thoughts and impressions of Wortley, P.*+ regarding interview memo and in anticipation of litigation.	
73	12/10/2013 12:49	Litigation file	Hayes, O.+			Attorney-Client; Work Product	Document reflecting thoughts and impressions of Orton, S.*+ and Woodard, R. Bryan*+ regarding interview memo and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
74	12/10/2013 12:49	Litigation file	Robson, G.+			Attorney-Client; Work Product	Email discussing legal advice of Norris, J.*+ regarding litigation telephone call and in anticipation of litigation.	
75	12/10/2013 12:50	Bryant, T.+;Pennings, E.+;Carlin, C.+	McLellan, R.*+			Attorney-Client; Work Product	Email discussing legal advice of Mckay, M.*+ regarding transition agreement and in anticipation of litigation.	
76	12/10/2013 12:53	Litigation file	Sofroniou, K.+			Attorney-Client; Work Product	Document reflecting thoughts and impressions of Wortley, P.*+ and Norris, J.*+ regarding interview memo and in anticipation of litigation.	
77	12/10/2013 12:59	Litigation file	Hayes, O.+			Attorney-Client; Work Product	Document reflecting thoughts and impressions of Orton, S.*+;Norris, J.*+;Woodard, R. Bryan*+ regarding interview memo and in anticipation of litigation.	
78	12/10/2013 13:00	Litigation file	Wortley, P.*+			Attorney-Client; Work Product	Document reflecting thoughts and impressions of Wortley, P.*+;Orton, S.*+ regarding interview memo and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
79	12/10/2013 13:01	Litigation file	Wortley, P.*+			Attorney-Client; Work Product	Document reflecting thoughts and impressions of Wortley, P.*+;Orton, S.*+ regarding interview memo and in anticipation of litigation.	
80	12/10/2013 13:02	Litigation file	McGee, P.+			Attorney-Client; Work Product	Document discussing legal advice of Orton, S.*+;Norris, J.*+;Woodard, R. Bryan*+ regarding interview memo and in anticipation of litigation.	
81	12/10/2013 13:03	Litigation file	Legal counsel			Attorney-Client; Work Product	Document discussing legal advice of Norris, J.*+;Orton, S.*+ regarding notes from review meeting and in anticipation of litigation.	
82	12/10/2013 12:27	Litigation file	Wortley, P.*+			Attorney-Client; Work Product	Document discussing legal advice of Wortley, P.*+ and Orton, S.*+ regarding note of review meeting and in anticipation of litigation.	
83	11/2/2010 10:00:11 PM	Bryant, T.+;McLellan, R.+	Pennings, E.+	Carlin, C.+		Attorney-Client	Email reflecting legal advice of Woodard, R. Bryan* regarding [REDACTED] trade.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
84	11/2/2010 10:43:52 PM	McLellan, R.+;Manzi, V.+;Mckay, M.+;McCormack, J.+;Bryant, T.+;Carlin, C.+;Scully, A.+;Beck, K*+;Bliss, S.*+;Pennings, E.+;Berntsen, E.+;Paul, S.*+	Woodard, R. Bryan*+	Puth, D.+		Attorney-Client	Email rendering legal advice of Woodard, B* regarding contract.	
85	11/2/2010 11:03:46 PM	McLellan, R.+	Pennings, E.+			Attorney-Client	Email in connection with seeking legal advice from McKay, M* regarding transition agreement.	
86	11/2/2010 11:03:46 PM	McLellan, R.+	Pennings, E.+			Attorney-Client	Document in connection with seeking legal advice from McKay, M* regarding transition agreement.	
87	11/2/2010 11:03:46 PM	McLellan, R.+	Pennings, E.+			Attorney-Client	Email attachment in connection with seeking legal advice from McKay, M* regarding transition agreement.	
95	10/18/2011 2:28:11 PM	Smit, S.+	Woodard, R. Bryan*+			Attorney-Client	Email requesting information for the purpose of rendering legal advice of Woodard, R. Bryan* regarding legal letter.	
96	10/18/2011 2:28:11 PM	Smit, S.+	Woodard, R. Bryan*+			Attorney-Client	Document in connection with seeking legal advice from Woodard, R. Bryan* regarding a meeting.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
97	10/18/2011 2:28:11 PM	Smit, S.+	Woodard, R. Bryan*+			Attorney-Client	Document providing information for the purpose of obtaining legal advice from Woodard, R. Bryan* regarding executions.	
98	10/18/2011 2:28:11 PM	Smit, S.+	Woodard, R. Bryan*+			Attorney-Client	Document providing information for the purpose of obtaining legal advice from Woodard, R. Bryan* regarding executions.	
99	10/18/2011 2:28:11 PM	Smit, S.+	Woodard, R. Bryan*+			Attorney-Client	Document providing information for the purpose of obtaining legal advice from Woodard, R. Bryan* regarding pensions.	
200	9/6/2011 5:24:19 PM	Oliver, R.++;Norris, J.*++;Phelan, D.*++;L'Heveder, C.*++;Hansen, M.*++;Scully, A.++;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Email requesting legal advice from Oliver, R.* regarding client communications and in anticipation of litigation.	
201	9/6/2011 5:24:19 PM	Oliver, R.++;Norris, J.*++;Phelan, D.*++;L'Heveder, C.*++;Hansen, M.*++;Scully, A.++;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from Oliver, R.* regarding transition management.	
202	9/6/2011 5:24:19 PM	Oliver, R.++;Norris, J.*++;Phelan, D.*++;L'Heveder, C.*++;Hansen, M.*++;Scully, A.++;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from Oliver, R.* regarding updated post-trade analysis.	



Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
203	9/6/2011 5:24:19 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from Oliver, R.* regarding TPS data requirements.	
204	9/6/2011 5:24:19 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from Oliver, R.* regarding fee clarification.	
205	9/6/2011 5:24:19 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from Oliver, R.* regarding transition management.	
206	9/6/2011 5:24:19 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from Oliver, R.* regarding transition management agreement.	
207	9/6/2011 5:24:19 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from Oliver, R.* regarding main agreement.	
208	9/6/2011 5:24:19 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from Oliver, R.* regarding Transition Management.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
209	9/6/2011 5:24:19 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from Oliver, R.* regarding transition query.	
210	9/6/2011 5:24:19 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from Oliver, R.* regarding Transition query.	
211	9/6/2011 5:24:19 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from Oliver, R.* regarding Transition Management.	
212	9/6/2011 5:24:19 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+			Redacted.	
215	9/7/2011 12:19:33 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client	Email requesting legal advice from Oliver, R.* regarding communications portfolio.	
216	9/7/2011 12:19:33 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client	Document providing information for the purpose of obtaining legal advice from Oliver, R.* regarding execution data.	
217	9/7/2011 12:19:33 PM	Oliver, R.+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+		Attorney-Client	Document providing information for the purpose of obtaining legal advice from Oliver, R.* regarding execution data.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
226	9/8/2011 6:45:57 AM	Smit, S.+;Antonellis, J.+	Phelan, D.*+			Attorney-Client	Email rendering legal advice of Phelan, D.* regarding Transition management.	
229	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
230	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
231	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
232	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.+;Scully, A.+;Coulter, C.+	Leaden, M.+	Smit, S.+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
233	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
234	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
235	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
236	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
237	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
238	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
239	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
240	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
241	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
242	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
243	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Spreadsheet requesting and rendering legal advice of legal counsel regarding transition management and in anticipation of litigation.	
244	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
245	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
246	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
247	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
248	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
249	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan.*+;Bailey, M.*+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
250	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan.*+;Bailey, M.*+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
251	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan.*+;Bailey, M.*+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
252	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan.*+;Bailey, M.*+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
253	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan.*+;Bailey, M.*+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	



Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
254	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
255	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
256	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
257	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
258	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
259	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transitional management and in anticipation of litigation.	
260	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
261	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Email requesting and rendering legal advice of legal counsel regarding transition management and in anticipation of litigation.	
262	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
263	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
264	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Spreadsheet requesting information for the purpose of rendering legal advice of legal counsel regarding transition management and in anticipation of litigation.	
265	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
266	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
267	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.+	Leaden, M.+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.+		Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
268	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
269	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
270	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
271	9/8/2011 9:10:24 AM	Oliver, R.*+;Norris, J.*+;Phelan, D.*+;L'Heveder, C.*+;Hansen, M.*+;Scully, A.*+;Coulter, C.*+	Leaden, M.*+	Smit, S.*+;Woodard, R. Bryan*+;Bailey, M.*+		Attorney-Client; Work Product	Document providing information for the purpose of obtaining legal advice from legal counsel regarding transition management and in anticipation of litigation.	
272	9/8/2011 10:34:37 AM	Oliver, Robin*+; Norris, Jonathan*+; Phelan, David*+; L'Heveder, Carol*+; Hansen, Mark*+; Scully, Anthony*+; Coulter, Cuan*+	Leaden, Mark*+	Smit, Stephen*+; Woodard, Bryan*+; Bailey, Marshall		Attorney-Client	Email requesting legal advice from Phelan, D.*, L'Heveder, C.*; Norris, J.*, Phelan, D.*, Woodard, B.* regarding regulatory compliance.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
273	9/8/2011 8:18:21 AM	Leaden, M.+; Boomgaardt, R.; Dixon, G.	Pennings, E.+; Dixon, G.; Boomgaardt, R.	Pennings, Edward; Ian M. Mcknight; Malcolm Smith; Rick Di Mascio		Attorney-Client	Email requesting legal advice from Phelan, D.*, L'Heveder, C.* regarding regulatory compliance.	
275	9/9/2011 10:16:54 AM	Puth, David+	Smit, Stephen+			Attorney-Client	Email discussing request for legal advice from Phelan, David.*; Norris, J.*; Legal Department* regarding transition management.	
287	9/12/2011 9:31:53 AM	Smit, Stephen+; Bailey, Marshall; Norris, Jonathan*; Scully, Anthony; Leaden, Mark; Hansen, Mark; Oliver, Robin; Woodard, R. Bryan*; Phelan, David*; L'Heveder, Carol*; Coulter, Cuan	Bailey, Marshall+; Norris, Jonathan*; L'Heveder, Carol*; Leaden, Mark;	Scully, Anthony+; Norris, Jonathan*; MacDonald, Wendy; Smit, Stephen; Woodard, R. Bryan ; Bailey, Marshall		Attorney-Client; Work Product	Email reflecting legal advice of L'Heveder, C*, Norris, J.*, Phelan, D.*; Woodard, B.* regarding regulatory investigations and in anticipation of litigation.	
288	9/12/2011 9:31:53 AM					Attorney-Client; Work Product	Document reflecting legal advice of L'Heveder, C*, Norris, J.*, Phelan, D.* regarding transition management and in anticipation of litigation.	
289	9/12/2011 10:13:25 AM	Norris, Jonathan*+; Smit, Stephen; Bailey, Marshall; Scully, Anthony; Leaden, Mark; Hansen, Mark; Oliver, Robin; Woodard, R. Bryan*; L'Heveder, Carol*; Phelan, David*; Coulter, Cuan	Smit, Stephen+; Bailey, Marshall; Norris, Jonathan*; L'Heveder, Carol*; Leaden, Mark	Bailey, Marshall+; Scully, Anthony+; Norris, Jonathan*; Macdonald, Wendy; Phelan, David*; Smith, Stephen; Woodard, R. Bryan*		Attorney-Client; Work Product	Email reflecting legal advice of L'Heveder, C*, Norris, J.*, Phelan, D.*; Woodard, B.* regarding regulatory investigations. and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
290	9/12/2011 10:13:25 AM					Attorney-Client	Document reflecting legal advice of L'Heveder, C*, Norris, J.*, Phelan, D.* regarding regulatory investigations and in anticipation of litigation.	
302	9/12/2011 8:50:14 PM	Scully, Anthony+; Leaden, Mark+; Hansen, Mark+; Oliver, Robin+; Woodard, R. Bryan+; L'Heveder, Carol*+; Coulter, Cuan	Norris, Jonathan*+; Leaden, Mark;	Bailey, Marshall+; Smit, Stephen+; Phelan, David*+; Norris, Jonathan*+; MacDonald, Wendy; Woodard, R. Bryan*		Attorney-Client; Work Product	Email requesting legal advice from L'Heveder, C*, Norris, J.*, Phelan, D.*, Woodard, B.* regarding regulatory investigation.	
303	9/12/2011 8:49:06 PM					Attorney-Client; Work Product	Document requesting legal advice from L'Heveder, C*, Norris, J.*, Phelan, D.* regarding transition management and in anticipation of litigation.	
304	9/12/2011 8:44:30 PM					Attorney-Client; Work Product	Document requesting legal advice from L'Heveder, C*, Norris, J.*, Phelan, D.* regarding transition management and in anticipation of litigation.	
305	9/13/2011 12:55:40 PM	Norris, Jonathan*+; Leaden, Mark+; Hansen, Mark+; Oliver, Robin+; Woodard, R. Bryan*+; L'Heveder, Carol*+; Scully, Anthony; Coulter, Cuan	Scully, Anthony+; Norris, Jonathan*; Leaden, Mark	Bailey, Marshall+; Smit, Stephen+; Phelan, David*+; MacDonald, Wendy; Norris, Jonathan*		Attorney-Client; Work Product	Email requesting legal advice from L'Heveder, C*, Norris, J.*, Woodard, B.* regarding transition management and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
306	9/13/2011 1:54:00 PM					Attorney-Client; Work Product	Document requesting legal advice from L'Heveder, C*, Norris, J.*, Phelan, D.* regarding transition management and in anticipation of litigation.	
439	10/11/2009 6:12:58 PM	Puth, David W+; Baillargeon, Robert A+; Bonn, Nick+; Dixon, Stuart+; Economou, Peter A+; Hardy, James A+; Johansen, Harry G+; Lewis, Clifford M+; Mohan, Aditya+; O'Neill, Peter+; Smit, Stephen C+; Snyder, Mark J+	Woodard, R. Bryan*+			Attorney-Client	Email from counsel reflecting legal advice of Woodard, B* regarding Legal resource status report.	
468	1/10/2013 7:33:00 PM	Hitchens, Sarah*+; Smit, Stephen;	Smit, Stephen C+; Hitchins, S.*;	<a href="#">Burnett, C.*</a> ;		Attorney-Client; Work-Product	Email reflecting legal advice of Hitchins, S.*; Burnett, C.*; regarding Project Flag Litigation. in anticipation of litigation.	
469	1/10/2013 11:16:00 AM					Attorney-Client; Work-Product	Work Product - Allen & Overy Interview with Stephen Smit in connection with seeking legal advice from Hitchins, S.*; Burnett, C.*; regarding ProjectFlag Litigation and Interview with Stephen Smit by Allen & Overy in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
470	1/10/2013 10:35:00 AM					Attorney-Client; Work-Product	Work Product - Allen & Overy Interview with Stephen Smit in connection with seeking legal advice from Hitchins, S.*; Burnett, C.*; regarding ProjectFlag Litigation and Interview with Stephen Smit by Allen & Overy in anticipation of litigation.	
471	1/10/2013 2:02:00 PM					Attorney-Client; Work-Product	Work Product - Allen & Overy Interview with Stephen Smit in connection with seeking legal advice from Hitchins, S.*; Burnett, C.*; regarding ProjectFlag Litigation and Interview with Stephen Smit by Allen & Overy in anticipation of litigation.	
472	1/10/2013 2:26:00 PM					Attorney-Client; Work-Product	Work Product - Allen & Overy Interview with Stephen Smit in connection with seeking legal advice from Hitchins, S.*; Burnett, C.*; regarding ProjectFlag Litigation and Interview with Stephen Smit by Allen & Overy and in anticipation of litigation.	



Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
473	1/11/2013 4:25:56 PM	Smit, Stephen C+; Smit, S.*; Hitchins. S.*;	Hitchins, Sarah+*; Hitchins, S.*; Smit, S.*;	Burnett, C+*;		Attorney-Client; Work-Product	Email reflecting legal advice of Hitchins, S.*; Orton, S.*; Burnett, C.*; regarding Project Flag Litigation in anticipation of litigation.	
481	1/15/2013 3:32:21 PM	Smit, Stephen C+	Phelan Legal, David C+*			Attorney-Client	Email discussing legal advice of David C. Phalen regarding regulatory investigation in anticipation of litigation.	
482	1/15/2013 3:24:53 PM					Work-Product	Draft indemnification agreement reflecting thoughts and impressions of David C. Phalen regarding regulatory investigation and in anticipation of litigation.	
483	1/15/2013 4:08:00 PM	Calum.Burnett+*; Smit, Stephen+	Smit, Stephen C +; Phalen, David C+*			Attorney-Client	Email reflecting legal advice of Phalen, David C. regarding Indemnification Agreement in anticipation of litigation.	
484	1/15/2013 3:24:53 PM					Work-Product	Letter reflecting legal advice of Phalen, David C. regarding indemnification in FSA investigation and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
576	9/23/2011 2:56:38 PM	Orton, Simon+*;Woodard, R. Bryan+*;Phelan Legal, David C+*; L'Heveder, Carol+*; Norris, Jonathan+*; Puth, David+; Smit, Stephen+	Smit, Stephen C +; Orton, Simon+*; Woodard, Bryan+*; Phalen, David C+*; L'Heveder,Carol+*	Wortley, Paul+*;Norris, Jonathan+*;L'Heveder , Carol+*; Phalen, David C+*; Woodard, Bryan+*; Smit, Stephen+		Attorney-Client	Email discussing legal advice of Orton, Simon;Woodward, Bryan;Phalen, David; L'Heveder, Carol regarding meeting with client to discuss TM issues in anticipation of litigation.	
577	9/23/2011 3:41:05 PM	Smit, Stephen C+;Woodard, R. Bryan+*;Phelan Legal, David C+*; Orton, Simon+*; L'Heveder, Carol+*; Norris, Jonathan+*; Puth, David+	Orton, Simon+*; Woodard, Bryan+*; Phalen, David C+*; L'Heveder, Carol+*; Smit, Stephen+	Wortley, Paul+*;Norris, Jonathan+*;L'Heveder , Carol+*; Phalen, David C+*; Woodard, Bryan+*; Smit, Stephen+		Attorney-Client	Email discussing legal advice of Orton, Simon;Woodward, Bryan; Phalen, David C.; Norris, Jonathan; L'Heveder, Carol regarding meeting with client to discuss TM issues and possible FSA inquiry in anticipation of litigation.	
578	9/23/2011 3:55:00 PM	Orton, Simon+*;Woodard, R. Bryan+*;Phelan Legal, David C+*; L'Heveder, Carol+*; Norris, Jonathan+*; Puth, David+; Smit, Stephen+	Smit, Stephen C +; Orton, Simon+*; Woodard, Bryan+*; Phalen, David C+*; L'Heveder,Carol+*	Wortley, Paul+*;Norris, Jonathan+*;L'Heveder , Carol+*; Phalen, David C+*; Woodard, Bryan+*; Smit, Stephen+		Attorney-Client	Email discussing legal advice of Orton, Simon;Woodward, Bryan; Phalen, David C.; Norris, Jonathan; L'Heveder, Carol regarding meeting with client to discuss TM issues and possible FSA inquiry in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
579	9/23/2011 5:33:15 PM	Smit, Stephen C+; Woodard, Bryan+*; Orton, Simon+*; Norris, Jonathan+*; Wortley, Paul+*; Sokolova, Denisa+*	Norris, Jonathan +*; Orton, Simon+*; Woodard, Bryan+*; Holden, Ian+; Sokolova, Denisa+*	Hayes, Oliver+*; L'Heveder, Carol+*; Scully, Anthony+; Sokolova, Denisa+*; Norris, Jonathan+*; Wortley, Paul+*; Smit, Stephen+		Attorney-Client	Email discussing information necessary for regulation by bank examiner with Norris, Jonathan; Woodward, Bryan; Orton, Simon; Wortley, Paul; Hayes, Oliver regarding rebate to client during TM in anticipation of litigation.	
580	9/23/2011 6:02:57 PM	Smit, Stephen C+; Woodard, Bryan+*; Orton, Simon+*; Norris, Jonathan+*; Wortley, Paul+*; Sokolova, Denisa+*	Norris, Jonathan +*; Orton, Simon+*; Woodard, Bryan+*; Holden, Ian+; Sokolova, Denisa+*; Smit, Stephen+	Hayes, Oliver+*; L'Heveder, Carol+*; Scully, Anthony+; Sokolova, Denisa+*; Norris, Jonathan+*; Wortley, Paul+*; Smit, Stephen+		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Norris, Jonathan; Woodward, Bryan; Orton, Simon; Wortley, Paul; Hayes, Oliver regarding rebate to client during TM in anticipation of litigation.	
581	9/23/2011 6:17:17 PM	Puth, David+; Smit, Stephen C+; Woodard, Bryan+*; Orton, Simon+*; Norris, Jonathan+*; Wortley, Paul+*; Sokolova, Denisa+*	Smit, Stephen C+; Norris, Jonathan +*; Orton, Simon+*; Woodard, Bryan+*; Holden, Ian+; Sokolova, Denisa+*	Hayes, Oliver+*; L'Heveder, Carol+*; Scully, Anthony+; Sokolova, Denisa+*; Norris, Jonathan+*; Wortley, Paul+*; Smit, Stephen+		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Norris, Jonathan; Woodward, Bryan; Orton, Simon; Wortley, Paul; Hayes, Oliver regarding rebate to client during TM in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
582	9/23/2011 10:57:50 PM	Norris, Jonathan+*; Orton, Simon+*; Wortley, Paul+*; Smit, Stephen C+; Woodard, Bryan+*; Sokolova, Denisa+*	Norris, Jonathan +*; Orton, Simon+*; Woodard, Bryan+*; Holden, Ian+; Sokolova, Denisa+*	Hayes, Oliver+*; L'Heveder, Carol+*; Scully, Anthony+; Sokolova, Denisa+*; Norris, Jonathan+*		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Norris, Jonathan; Woodward, Bryan; Orton, Simon; Wortley, Paul; Hayes, Oliver regarding client rebate during TM in anticipation of litigation.	
583	9/24/2011 11:25:37 AM	Orton, Simon+*; Norris, Jonathan+*; Wortley, Paul+*; Smit, Stephen C+; Woodard, Bryan+*; Sokolova, Denisa+*	Norris, Jonathan +*; Orton, Simon+*; Woodard, Bryan+*; Holden, Ian+; Sokolova, Denisa+*	Hayes, Oliver+*; L'Heveder, Carol+*; Scully, Anthony+; Sokolova, Denisa+*; Norris, Jonathan+*		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Norris, Jonathan; Woodward, Bryan; Orton, Simon; Wortley, Paul; Hayes, Oliver regarding client rebate during TM in anticipation of litigation.	
591	9/24/2011 5:40:26 PM	Smit, Stephen C+; Woodard, Bryan+*; Phalen, David+*; Orton, Simon+*; L'Heveder, Carol+*; Norris, Jonathan+*; Puth, David+	Woodard, R. Bryan +*; Orton, Simon+*; Phalen, David+*; L'Heveder, Carol+*; Smit, Stephen C+	Wortley, Paul+*; Smit, Stephen+; Woodard, Bryan+*; Norris, Jonathan+*; L'Heveder, Carol+*; Phalen, David+*		Attorney-Client	Emails discussing legal advice of Woodard, Bryan; Orton, Simon; Phalen, David regarding client rebate for charges during TM in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
592	9/25/2011 10:50:13 AM	Smit, Stephen C+; Woodard, Bryan+*; Phalen, David+*; Orton, Simon+*; L'Heveder, Carol+*; Norris, Jonathan+*; Puth, David+	Woodard, R. Bryan +*; Orton, Simon+*; Phalen, David+*; L'Heveder, Carol+*; Smit, Stephen C+	Wortley, Paul+*; Smit, Stephen+; Woodard, Bryan+*; Norris, Jonathan+*; L'Heveder, Carol+*; Phalen, David+*		Attorney-Client	Emails discussing legal advice of Woodard, Bryan; Orton, Simon; Phalen, David regarding client rebate for charges during TM in anticipation of litigation.	
599	9/26/2011 1:28:10 PM	Orton, Simon+*;Woodard, R. Bryan+*;Phelan Legal, David C+*; L;Heveder, Carol+*; Smit, Stephen+; Puth, David+	Smit, Stephen C +; Orton, Simon+*; Woodard, Bryan+*; Phalen, David+*; L'Heveder, Carol+*	Wortley, Paul+*;Norris, Jonathan+*;L'Heveder , Carol+*; Woodard, Bryan+*; Smit, Stephen C+		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Orton, Simon; Woodard, Bryan; Phalen, David;Norris, Jonathan; L'Heveder, Carol; Wortley, Paul regarding client rebate for charges during TM in anticipation of litigation.	
609	9/26/2011 5:53:28 PM	L'Heveder, Carol+*;Woodard, R. Bryan+*;Norris, Jonathan+*;Smit, Stephen C+;Phelan Legal, David C+*	Orton, Simon+*	Wortley, Paul+*;		Attorney-Client	Email reflecting legal advice of Orton, Siom; L'Heveder, Carol; Woodward, Bryan; Norris, Jonathan; Phalen, David; Wortley, Paul regarding client rebate during TM in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
610	9/26/2011 1:52:00 PM					Attorney-Client; Work-Product	Draft Script in connection with seeking legal advice from Orton, S.*; L'Heveder, C.*; Woodward, B.*; Norris, J.*; Phalen, D.*; Wortley, P.*; regarding Meeting with RM regarding mark-up transparency in anticipation of litigation	
611	9/26/2011 6:29:13 PM	Smit, Lisa+; L'Heveder, Carol+*; Woodard, Bryan+*; Norris, Jonathan+*; Phalen, David+*; Smit, Stephen+	Smit, Stephen C +; Orton, Simon+*	Wortley, Paul+*		Attorney-Client	Email reflecting legal advice of Orton, Simon, L'Heveder, Carol; Woodward, Bryan; Norris, Jonathan; Phalen, David; Wortley, Paul regarding rebate for client during TM in anticipation of litigation.	
612	9/26/2011 1:52:00 PM					Attorney-Client	Draft Script in connection with seeking legal advice from Orton, S.*; L'Heveder, C.*; Woodward, B.*; Norris, J.*; Phalen, D.*; Wortley, P.*; regarding Meeting with RM regarding mark-up transparency in anticipation of litigation	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
618	9/26/2011 7:38:06 PM	Orton, Simon+*;L'Heveder, Carol+*;Woodard, R. Bryan+*;Norris, Jonathan+*;Phelan Legal, David C+*; Smit, Stephen+	Smit, Stephen C +; Orton, Simon+*	Wortley, Paul+*		Attorney-Client	Email discussing legal advice of Orton, Simon; L'Heveder, Carol; Woodard, Bryan; Norris, Jonathan; Phalen, David: Wortley, Paul regarding client rebate for charges during TM.	
619	9/26/2011 9:07:32 PM	Smit, Stephen C+;L'Heveder, Carol+*;Woodard, R. Bryan+*;Norris, Jonathan+*;Phelan Legal, David C+*; Orton, Simon+*	Orton, Simon+*; Smit, Stephen+	Wortley, Paul+*		Attorney-Client	Emails reflecting legal advice of Orton, Simon;L'Heveder, Carol; Woodard, Bryan; Norris, Jonathan; Phalen, David: Wortley, Paul regarding clientrebate for charges during TM in anticipation of litigation.	
620	9/26/2011 10:40:15 PM	Orton, Simon+*;Smit, Stephen C+;L'Heveder, Carol+*;Woodard, R. Bryan+*;Phelan Legal, David C+*	Norris, Jonathan +*; Orton, Simon+*; Smit, Stephen+	Wortley, Paul+*;Norris, Jonathan+*;L'Heveder , Carol+*		Attorney-Client	Emails reflecting legal advice of Norris, Jonathan; Orton, Simon; L'Heveder, Carol; Woodard, Bryan; Phalen, David; Wortley,Paul regarding client rebate for charges during the TM in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
621	9/26/2011 10:53:50 PM	Smit, Stephen C+; Norris, Jonathan+*; Hansen, Mark+*; Boomgaardt, Rick+; Dixon, Graham+	Norris, Jonathan +*; Hansen, Mark+*; Boomgaardt, Rick+	Norris, Jonathan+*;Hasler, Rose+*;Scully, Anthony+, Pennings, Edward+		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Norris,Jonathan regarding clientrebat for charges during TM in anticipation of litigation.	
622	9/26/2011 11:04:15 PM	Norris, Jonathan+*;Smit, Stephen C+*;L'Heveder, Carol+*;Woodard, R. Bryan+*;Phelan Legal, David C+*; Orton, Simon+*	Orton, Simon+*; Norris, Jonathan+*; Smit, Stephen C+	Wortley, Paul+*; Norris, Jonathan+*		Attorney-Client	Email discussing information necessary for regulation by bank examiner with Orton, Simon; Norris, Jonathan; L'Heveder, Carol;Woodward, Bryan;Phalen, David; Wortley, Paul regarding client rebate on charges during TM in anticipation of litigation.	
623	9/26/2011 11:05:05 PM					Attorney-Client;Work-Product	Draft Script in connection with seeking legal advice from Orton, S.*; Norris, J.*; L'Heveder, C.*; Woodward, B.*; Phalen, D.*; Wortley, P.*; regarding Script for RM Client re: undisclosed mark-ups. in anticipation of litigation.	



Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
624	9/26/2011 11:05:05 PM					Attorney-Client;Work-Product	List of executions in connection with seeking legal advice from Orton, S.*; Norris, J.*; L'Heveder, C.*; Woodward, B.*; Phalen, D.*; Wortley, P.*; regarding RM Europe Executions in anticipation of litigation.	
625	9/26/2011 11:05:05 PM					Attorney-Client;Work-Product	Execution List in connection with seeking legal advice from Orton, S.*; Norris, J.*; L'Heveder, C.*; Woodward, B.*; Phalen, D.*; Wortley, P.*; regarding list of RM US executions.	
626	9/26/2011 11:05:05 PM					Attorney-Client;Work-Product	Letter reflecting legal advice of Orton, S.*; Norris, J.*; L'Heveder, C.*; Woodward, B.*; Phalen, D.*; Wortley, P.*; regarding [REDACTED] and undisclosed mark-ups in anticipation of litigation	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
628	9/27/2011 6:57:15 AM	Farrin, Gwendoline+; Smit, Stephen C+; Norris, Jonathan+*; L'Heveder, Carol+*; Woodard, Bryan+*; Phalen, David+*; Orton, Simon+*	Smit, Stephen C +; Orton, Simon+*; Norris, Jonathan+*	Wortley, Paul+*; Norris,Jonathan+*		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Orton, Simon; Norris, Jonathan; L'Heveder, Carol;Woodward, Bryan;Phalen, David; Wortley, Paul regarding client rebate on charges during TM in anticipation of litigation.	
629	9/27/2011 6:57:15 AM					Attorney-Client	Draft Script in connection with seeking legal advice from Orton, S.*; Norris, J.*; L'Heveder, C.*; Woodward, B.*; Phalen, D.*; Wortley, P.*; regarding draft script re: meeting with [REDACTED] in anticipation of litigation	
630	9/27/2011 6:57:15 AM					Attorney-Client;Work-Product	Execution List in connection with seeking legal advice from Orton, S.*; Norris, J.*; L'Heveder, C.*; Woodward, B.*; Phalen, D.*; Wortley, P.*; regarding RM Europe Executions.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
631	9/27/2011 6:57:15 AM					Attorney-Client; Work-Product	Execution List in connection with seeking legal advice from Orton, S.*; Norris, J.*; L'Heveder, C.*; Woodward, B.*; Phalen, D.*; Wortley, P.*; regarding RM US executions.	
632	9/27/2011 6:57:15 AM					Attorney-Client; Work-Product	Draft Letter reflecting legal advice of Orton, S.*; Norris, J.*; L'Heveder, C.*; Woodward, B.*; Phalen, D.*; Wortley, P.*; regarding Draft Letter to RM re undisclosed mark-ups in anticipation of litigation	
633	9/27/2011 9:28:51 AM	Orton, Simon+*; Smit, Stephen C+; L'Heveder, Carol+*; Woodard, R. Bryan+*; Phelan Legal, David C+*; Norris, Jonathan+*;	Norris, Jonathan +*; Orton, Simon+*; Smit, Stephen C+	Wortley, Paul+*; Norris, Jonathan+*		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Norris, Jonathan; Orton, Simon; L'Heveder, Carol; Woodard, Bryan; Phalen, David; Wortley, Paul regarding client rebate for charges during the TM in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
634	9/27/2011 9:27:25 AM	Norris, Jonathan+*; Orton, Simon+*; Wortley, Paul+*; Sokolova, Denisa+*; Leaden, Mark+; Freeman, Chris+	Norris, Jonathan +*; Sokolova, Denisa+*; Freeman, Chris+; Boomgaardt+	Wortley, Paul+*;Norris, Jonathan+*, Woodard, Bryan+*		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Norris, Jonathan; Woodard,Bryan;Orton , Simon; Wortley, Paul regarding clientrebate of charges during the TM in anticipation of litigation.	
635	9/2/2011 10:53:00 AM					Attorney-Client	FX Trades in connection with seeking legal advice from Norris, J.*; Woodard, B.*; ;Orton, S.*; Wortley, P.*; regarding FX trades.	
636	9/27/2011 8:53:35 AM					Attorney-Client	FX trade list in connection with seeking legal advice from Norris, J.*; Woodard, B.*; ;Orton, S.*; Wortley, P.*; regarding FX trades.	
637	9/27/2011 10:46:30 AM	Orton, Simon+*;Norris, Jonathan+*;L'Heveder , Carol+*;Woodard, R. Bryan+*;Phelan Legal, David C+*; Smit, Stephen C+	Smit, Stephen C +; Orton, Simon+*; Norris, Jonathan+*	Wortley, Paul+*;Puth, David W+;Antonellis, Joseph C+: Norris, Jonathan+*		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Orton, Simon; Norris, Jonathan;L'Heveder, Carol;Woodard, Bryan; Phalen, David: Wortley, Paul regarding client rebate for charges during the TM in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
642	9/27/2011 2:41:40 PM	Norris, Jonathan+*;Smit, Stephen C+;L'Heveder, Caro+*;Woodard, R. Bryan+*;Phelan Legal, David C+*; Orton, Simon+*	Orton, Simon+*; Norris, Jonathan+*; Smit, Stephen C+	Wortley, Paul+*; Norris, Jonathan+*		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Orton,Simon; Norris, Jonathan; L'Heveder, Carol,Woodward, Bryan; Phelan, David regarding rebate for client during TM in anticipation of litigation.	
646	9/27/2011 9:09:22 PM	Smit, Stephen C+; Norris, Jonathan+*	Norris, Jonathan +*; Smit, Stephen C+	Norris, Jonathan+*;		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Norris, Jonathan regarding client rebate during TM in anticipation of litigation.	
647	9/28/2011 7:14:01 AM	Boomgaardt, Rick+; Norris, Jonathan+*; Smit, Stephen C+	Smit, Stephen C+; Norris, Jonathan +*	Norris, Jonathan+*		Attorney-Client	Emails requesting information for the purpose of rendering legal advice of Norris, Jonathan regarding a client rebate in anticipation of litigation.	
648	9/28/2011 7:27:07 AM	Smit, Stephen C+;Norris, Jonathan+*; Boomgaardt, Rick+	Boomgaardt, Rick +; Smit, Stephen C+; Norris, Jonathan+*	Norris, Jonathan+*		Attorney-Client	Emails discussing information necessary for regulation by bank examiner with Norris, Jonathan regarding a client rebate in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
649	9/28/2011 9:10:06 AM	L'Heveder, Carol+*; Norris, Jonathan+*; Orton, Simon+*; Woodard, Bryan+*; Phalen, David+*; Smit, Stephen C+	Smit, Stephen C +; L'Heveder, Carol+*; Orton, Simon+*; Norris, Jonathan+*	Phelan Legal, David C+*; Wortley, Paul+*; Norris, Jonathan+*; Puth, David+; Antonellis, Joseph+		Attorney-Client	Emails providing information for the purpose of obtaining legal advice from L'Heveder, Carol; Norris, Lonathan; Orton, Simon; Woodard, Bryan; Phalen, David; Wortley, Paul regarding client rebate of charges during TM in anticipation of litigation.	
650	9/28/2011 11:00:58 AM	Smit, Stephen C+; Boomgaardt, Rick+	Norris, Jonathan +*; Dixon, Graham+	Norris, Jonathan+*; L'Heveder, Carol+*; Phelan Legal, David C+*; Oliver, Robin+; Scully, Anthony+; Woodard, R. Bryan+*; McKnight, Ian+; DiMascio, Rick+		Attorney-Client	Emails reflecting legal advice of Norris, Jonathan; L'Heveder, Carol; Phalen, David; Woodard, Bryan regarding client rebate for charges during the TM in anticipation of litigation.	
651	9/15/2011 12:43:06 PM					Attorney-Client	Excel spreadsheet attached to email providing information for the purpose of obtaining legal advice from Woodard, Bryan; Phalen, David; L'Heveder, Carol; Norris, Jonathan regarding client rebate for charges during TM in anticipation of litigation	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
652	9/20/2011 4:00:00 PM					Attorney-Client	Excel spreadsheet attached to email providing information for the purpose of obtaining legal advice from Woodard, Bryan; Phalen, David; L'Hevender, Carol; Norris, Jonathan regarding client rebate for charges during TM in anticipation of litigation	
656	9/28/2011 16:22					Attorney-Client; Work-Product	Internal memorandum rendering legal advice of Legal EMEA regarding trading mark-ups and in anticipation of litigation.	
684	9/29/2011 10:57					Attorney-Client; Work-Product	Word document providing information for the purpose of obtaining legal advice from Woodard, R.*, Orton, S.*, Norris, J.*, Phelan, D.*, Wortley, P.*, and L'Hevender, C.* regarding draft FSA Q&A script and in anticipation of litigation.	
703	9/30/2011 8:33:23 AM	Smit, Stephen C+; Phelan, David C; Woodard, R. Bryan*, Norris, Jonathan*	Phelan, David C+*; Phelan, James S; Boomgaardt, Rick			Attorney-Client; Work-Product	Email requesting and rendering legal advice of Worth, C.* regarding contracts/agreements.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
708	9/30/2011 10:20:21 AM					Attorney-Client;Work-Product	Word document requesting and rendering legal advice of Orton, S.*, Phelan, D.*, Woodard, R.*, and Norris, J* regarding draft FSA script and in anticipation of litigation.	
709	9/30/2011 12:50:56 PM	Orton, Simon+*; Norris, Jonathan+*; L'Heveder, Carol+*; Woodard, R. Bryan+*; Phelan, David C+*	Smit, Stephen C+	Wortley, Paul+*; Puth, David W+		Attorney-Client;Work-Product	Email providing information for the purpose of obtaining legal advice from Orton, S.*, Norris, J.*, L'Heveder, C.*, Woodard, R.*, Phelan, D.*, and Wortley, P.* regarding meeting with Analytics and in anticipation of litigation.	
710	9/28/2011 2:52:00 PM					Attorney-Client;Work-Product	Letter to Inalytics in connection with seeking legal advice from Orton, S.*, Norris, J.*, L'Heveder, C.*, Woodard, R.*, Phelan, D.*, and Wortley, P.* regarding meeting with Inalytics and in anticipation of litigation. .	



Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
711	9/30/2011 1:02:49 PM	Smit, Stephen C+; Orton, Simon+*; Norris, Jonathan+*; L'Heveder, Carol+*; Phelan, David C+*; Woodard, R. Bryan*	Woodard, R. Bryan+*; Smit, Stephen C	Wortley, Paul+*; Puth, David W+		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Orton, S.*, Norris, J.*, L'Heveder, C.*, Woodard, R.*, Phelan, D.*, and Wortley, P.* regarding meeting with Analytics and in anticipation of litigation.	
712	9/30/2011 1:07:09 PM	Woodard, R. Bryan+*; Smit, Stephen C+; Norris, Jonathan+*; L'Heveder, Carol+*; Phelan, David C+*	Orton, Simon+*; Woodard, R. Bryan*; Smit, Stephen C	Wortley, Paul+*; Puth, David W+		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Orton, S.*, Norris, J.*, L'Heveder, C.*, Woodard, R.*, Phelan, D.*, and Wortley, P.* regarding meeting with Analytics and in anticipation of litigation.	
713	9/30/2011 1:29:40 PM	Woodard, R. Bryan+*; Orton, Simon+*; Norris, Jonathan+*; L'Heveder, Carol+*; Phelan, David C+*	Smit, Stephen C+*; Woodard, R. Bryan*	Wortley, Paul+*; Puth, David W+		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Orton, S.*, Norris, J.*, L'Heveder, C.*, Woodard, R.*, Phelan, D.*, and Wortley, P.* regarding meeting with Analytics and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
714	9/30/2011 2:10:45 PM	Smit, Stephen C+; Woodard, R. Bryan+*; Norris, Jonathan+*; L'Heveder, Carol+*; Phelan, David C+*	Orton, Simon+*; Woodard, R. Bryan*; Smit, Stephen C	Wortley, Paul+*; Puth, David W+		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Orton, S.*, Norris, J.*, L'Heveder, C.*, Woodard, R.*, Phelan, D.*, and Wortley, P.* regarding meeting with Inalytics and in anticipation of litigation.	
715	9/30/2011 2:33:59 PM	Smit, Stephen C+; Woodard, R. Bryan+*; Norris, Jonathan*	Norris, Jonathan+*; Smit, Stephen C; Boomgaardt, Rick	Phalen, James S+; Norris, Jonathan+*		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Woodard, R.*, Norris, J.*, and Freshfields Bruckhaus Deringer regarding communications with Inalytics and in anticipation of litigation.	
716	9/30/2011 2:54:31 PM	Carp, Jeffrey+*; Woodard, R. Bryan+*; Coulter, Cuan F+; Puth, David W+; Orton, Simon+*	Phelan, David C+*	Oliver, Robin+; Smit, Stephen C+; Bailey, Marshall+		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Orton, S.*, Woodard, R.*, Phelan, D.*, and Carp, J.* regarding meeting with FSA and in anticipation of litigation.	
717	9/30/2011 3:14:27 PM	Phelan, David C+*; Carp, Jeffrey+*; Woodard, R. Bryan+*; Coulter, Cuan F+; Puth, David W+; Orton, Simon+*	Smit, Stephen C+; Phelan, David C*	Oliver, Robin+; Bailey, Marshall+		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Orton, S.*, Woodard, R.*, Phelan, D.*, and Carp, J.* regarding meeting with FSA and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
719	9/30/2011 7:54:41 PM	Phelan, David C+*; Puth, David W+; O'Leary, David C+; Carp, Jeffrey+*; Woodard, R. Bryan+*; Smit, Stephen C+; Oliver, Robin+; Quirk, Alison A+; Coulter, Cuan F+	Cichon, Carolyn+	Grove, Hannah M+; Curran, Alicia A+; Davidson, Lucy+; Muncer, Andrew+		Attorney-Client;Work-Product	Email requesting legal advice from Phelan, D.*, Carp, J.*, and Woodard, R.* regarding transition management communications plan and in anticipation of litigation.	
720	9/30/2011 8:12:34 PM	Phelan, David C+*; Puth, David W+; O'Leary, David C+; Carp, Jeffrey+*; Woodard, R. Bryan+*; Smit, Stephen C+; Oliver, Robin+; Quirk, Alison A+; Coulter, Cuan F+	Cichon, Carolyn+	Grove, Hannah M+; Curran, Alicia A+; Davidson, Lucy+; Muncer, Andrew+		Attorney-Client;Work-Product	Email requesting legal advice from Phelan, D.*, Carp, J.*, and Woodard, R.* regarding transition management communications plan and in anticipation of litigation.	
721	10/1/2011 12:10:55 AM	Carp, Jeffrey+*; Puth, David W+; Phelan, David C+; Coulter, Cuan F+; Smit, Stephen C+; O'Leary, David C+; Quirk, Alison A+; Orton, Simon+*; Squire, Nicholas+*	Paton, Kathy+	Liggett, Matthew+*; Greene, Liz+; Keating, Hazel+; Fichtner, Paul+; Genereux, Thomas J+		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Phelan, D.*, Carp, J.*, Orton, S.*, Squire, N.*, and Liggett, M.* regarding employee disciplinary hearings and employment litigation and in anticipation of litigation.	
722	10/1/2011 11:34:59 AM	Paton, Kathy+; Carp, Jeffrey+*; Puth, David W+; Phelan, David C+; Smit, Stephen C+; O'Leary, David C+; Quirk, Alison A+; Orton, Simon+*; Squire, Nicholas+*; Coulter, Cuan F	Coulter, Cuan F+; Paton, Kathy	Liggett, Matthew+*; Greene, Liz+; Keating, Hazel+; Fichtner, Paul+; Genereux, Thomas J+		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Phelan, D.*, Carp, J.*, Orton, S.*, Squire, N.*, and Liggett, M.* regarding employee disciplinary hearings and employment litigation and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
723	10/1/2011 12:50:11 PM	Coulter, Cuan F+; Paton, Kathy+; Carp, Jeffrey+*; Puth, David W+; Phelan, David C+*; O'Leary, David C+; Quirk, Alison A+; Orton, Simon+*; Squire, Nicholas+*; Smit, Stephen C	Smit, Stephen C+; Coulter, Cuan F; Paton, Kathy	Liggett, Matthew+*; Greene, Liz+; Keating, Hazel+; Fichtner, Paul+; Genereux, Thomas J+		Attorney-Client; Work-Product	Email requesting and rendering legal advice of Phelan, D.*, Carp, J.*, Orton, S.*, Squire, N.*, and Liggett, M.* regarding employee disciplinary hearings and employment litigation and in anticipation of litigation.	
724	10/1/2011 1:02:38 PM	Cichon, Carolyn+; Phelan, David C+*; Puth, David W+; O'Leary, David C+; Carp, Jeffrey+*; Woodard, R. Bryan+*; Oliver, Robin+; Quirk, Alison A+; Coulter, Cuan F+; Smit, Stephen C	Smit, Stephen C+; Cichon, Carolyn	Grove, Hannah M+; Curran, Alicia A+; Davidson, Lucy+; Muncer, Andrew+		Attorney-Client; Work-Product	Email requesting and rendering legal advice of Phelan, D.*, Carp, J.*, and Woodard, R.* regarding transition management communications plan and in anticipation of litigation.	
725	10/3/2011 12:46:37 PM	Phelan, David C+*; Carp, Jeffrey+*; Woodard, R. Bryan+*; Coulter, Cuan F+; Puth, David W+; Orton, Simon+*	Oliver, Robin+; Phelan, David C*	Smit, Stephen C+; Bailey, Marshall+; Scully, Anthony+; Oliver, Robin		Attorney-Client; Work-Product	Email requesting and rendering legal advice of Orton, S.*, Woodard, R.*, Phelan, D.*, and Carp, J.* regarding meeting with FSA and in anticipation of litigation.	
746	10/4/2011 8:32:25 PM	Phelan, David C+; Puth, David W+; O'Leary, David C+; Carp, Jeffrey+*; Woodard, R. Bryan+*; Smit, Stephen C+; Oliver, Robin+; Quirk, Alison A+; Coulter, Cuan F+	Cichon, Carolyn+	Grove, Hannah M+; Curran, Alicia A+; Davidson, Lucy+; Muncer, Andrew+; Fichtner, Paul+		Attorney-Client; Work-Product	Email requesting legal advice from Phelan, D.*, Carp, J.*, and Woodard, R.* regarding transition management communications plan and draft holding statement and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
747	10/4/2011 9:20:52 PM	Cichon, Carolyn+; Phelan, David C+*; Puth, David W+; Carp, Jeffrey+*; Woodard, R. Bryan+*; Smit, Stephen C+; Oliver, Robin+; Quirk, Alison A+; Coulter, Cuan F+; O'Leary, David C	O'Leary, David C+; Cichon, Carolyn	Grove, Hannah M+; Curran, Alicia A+; Davidson, Lucy+; Muncer, Andrew+; Fichtner, Paul+		Attorney-Client;Work-Product	Email requesting legal advice from Phelan, D.*, Carp, J.*, and Woodard, R.* regarding transition management communications plan and in anticipation of litigation.	
748	10/4/2011 9:32:00 PM	Cichon, Carolyn+; Phelan, David C+*; Puth, David W+; O'Leary, David C+; Carp, Jeffrey+*; Woodard, R. Bryan+*; Smit, Stephen C+; Oliver, Robin+; Coulter, Cuan F+; Quirk, Alison A	Quirk, Alison A+; Cichon, Carolyn	Grove, Hannah M+; Curran, Alicia A+; Davidson, Lucy+; Muncer, Andrew+; Fichtner, Paul+		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Phelan, D.*, Carp, J.*, and Woodard, R.* regarding transition management communications plan and in anticipation of litigation.	
749	10/4/2011 11:21:55 PM	Cichon, Carolyn+; Phelan, David C+*; Puth, David W+; O'Leary, David C+; Carp, Jeffrey+*; Woodard, R. Bryan+*; Smit, Stephen C+; Oliver, Robin+; Quirk, Alison A+; Coulter, Cuan F+	Grove, Hannah M+; Cichon, Carolyn	Curran, Alicia A+; Davidson, Lucy+; Muncer, Andrew+; Fichtner, Paul+; Paton, Kathy+; Liggett, Matthew+*; Grove, Hannah M		Attorney-Client;Work-Product	Email requesting legal advice from Phelan, D.*, Carp, J.*, Liggett, M.*, and Woodard, R.* regarding transition management communications plan and draft holding statement and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
752	10/5/2011 7:49:28 AM	Grove, Hannah M+; Cichon, Carolyn+; Phelan, David C+*; Puth, David W+; O'Leary, David C+; Carp, Jeffrey+*; Woodard, R. Bryan+*; Oliver, Robin+; Quirk, Alison A+; Coulter, Cuan F+; Smit, StephenC	Smit, Stephen C+; Grove, Hannah M; Cichon, Carolyn	Curran, Alicia A+; Davidson, Lucy+; Muncer, Andrew+; Fichtner, Paul+; Paton, Kathy+; Liggett, Matthew+*		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Woodard, R.* , Phelan, D.* , Carp, J.* , and Ligget, M.* regarding transition management communication plan and in anticipation of litigation.	
754	10/5/2011 10:50:15 AM	Grove, Hannah M+; Cichon, Carolyn+; Phelan, David C+*; Puth, David W+; O'Leary, David C+; Carp, Jeffrey+*; Woodard, R. Bryan+*; Smit, Stephen C+; Oliver, Robin+; Quirk, Alison A+; Coulter, Cuan F+	Grove, Hannah M+	Curran, Alicia A+; Davidson, Lucy+; Muncer, Andrew+; Fichtner, Paul+; Paton, Kathy+; Liggett, Matthew+*		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Woodard, R.* , Phelan, D.* , Carp, J.* , and Ligget, M.* regarding transition management communication plan and in anticipation of litigation.	
807	11/11/2011 3:56:59 PM	Bailey, Marshall+; L'Heveder, Carol*; Woodard, R. Bryan*; Norris, Jonathan*; Phelan, David*; Smit, Stephen C	Smit, Stephen C+; Orton, Simon*	Wortley, Paul*		Attorney-Client;Work-Product	Email rendering legal advice of Orton, S.* , L'Heveder, C.* , Woodard, R.* , Norris, J.* , Phelan, D.* , and Wortley, P.* regarding transition management draft customer talking points and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
808	9/26/2011 1:52:00 PM					Attorney-Client; Work-Product	Word document rendering legal advice of Orton, S. *, L'Heveder, C. *, Woodard, R. *, Norris, J. *, Phelan, D. *, and Wortley, P. * regarding transition management draft customer talking points and in anticipation of litigation.	
810	11/11/2011 5:49:43 PM	Lisa Smit+; L'Heveder, Carol*; Woodard, R. Bryan*; Norris, Jonathan*; Phelan, David*; Smit, Stephen C	Smit, Stephen C+; Orton, Simon*	Wortley, Paul*		Attorney-Client; Work-Product	Email rendering legal advice of Orton, S. *, L'Heveder, C. *, Woodard, R. *, Norris, J. *, Phelan, D. *, and Wortley, P. * regarding transition management draft customer talking points and in anticipation of litigation.	
811	9/26/2011 1:52:00 PM					Attorney-Client; Work-Product	Word document rendering legal advice of Orton, S. *, L'Heveder, C. *, Woodard, R. *, Norris, J. *, Phelan, D. *, and Wortley, P. * regarding transition management draft customer talking points and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
1194	9/22/2011 10:21:16 AM	McGee, Paul M + Sunmonu,Rafiel *+ McGee,Paul + Gallagher,Paul +	Sunmonu, Rafiel *+ McGee,Paul + Gallagher,Paul + Conlon,Daire +	Waller,Cassie + Boomgaard,Rick + McGee,Paul + Hillam,Christian +		Attorney-Client;Work-Product	Email reflecting legal advice of Sunmono,R* regarding Draft Transition Notice and in anticipation of litigation.	
1195	9/22/2011 11:20:00 AM					Work-Product	Draft Form of Transition Notice reflecting legal advice of Legal Department regarding wordingand provisions of proposed Draft Form of Transition Notice in anticipation of litigation.	
1196	9/22/2011 11:18:00 AM					Work-Product	Draft Form of Transition Notice reflecting legal advice of Legal Department regarding wording and provisions of Form of Transition Notice in anticipation of litigation.	
1213	9/22/2011 3:19:20 PM	McGee, Paul M+;Pennings, Edward+;Cieslok, Ines+*;Winter, Steven R+;Holden, Ian N+, Gallagher, Paul F.; Conlon, Daire	Sunmonu, Rafiel+*; McGee, Paul; Gallagher, Paul F; Conlon, Daire			Attorney-Client	Email requesting and rendering legal advice of Sunmonu, R.* regarding corporate policy.	
1214	9/22/2011 4:13:00 PM					Attorney-Client	Contract discussing legal advice of Legal Dept. regarding transitional management.	



Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
1215	9/22/2011 3:29:59 PM	Sunmonu, Rafael+*;McGee, Paul M.; Gallagher, Paul F.	McGee, Paul M+; Sunmonu, Rafael*; Gallagher, Paul F.; Conlon, Daire			Attorney-Client	Email providing information for the purpose of obtaining legal advice from Sunmonu, R.* regarding corporate policy.	
1231	9/22/2011 4:27:03 PM	McGee, PaulM+; Sunmonu, Rafael; Gallagher, PaulF.	Sunmonu, Rafael*+; McGee, Paul M.; Gallagher, Paul F.; Conlon, Daire			Attorney-Client	Email providing information for the purpose of obtaining legal advice from Sunmonu, R.* regarding contracts/agreements.	
1232	9/22/2011 5:20:00 PM					Attorney-Client	Document reflecting legal advice of Legal Dept.* regarding draft contract.	
1233	9/22/2011 5:25:00 PM					Attorney-Client	Document reflecting legal advice of Legal Dept.* regarding draft contract.	
1262	11/4/2010 6:35:00 PM					Attorney-Client	Document reflecting legal advice of Legal Dept.* regarding contracts/agreements.	
1274	9/26/2011 1:36:00 PM					Attorney-Client	Document reflecting legal advice of Legal Dept. regarding transition management.	
1312	9/21/2011 6:05:50 PM	Boomgaardt, Rick+;Holden, Ian N+	Norris, Jonathan*+	Norris, Jonathan*+		Attorney-Client	Email in connection with seeking legal advice from Norris, J.* regarding client meeting.	
1313	9/21/2011 6:12:32 PM	Norris, Jonathan*+	Holden, Ian N+				Email in connection with seeking legal advice from Norris, J.* regarding client meeting.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
1314	9/21/2011 6:15:08 PM	Holden, Ian N+; Norris, Jonathan*; Boomgaardt, Rick	Norris, Jonathan*+; Holden, Ian	Boomgaardt, Rick+; Norris, Jonathan*		Attorney-Client	Email in connection with seeking legal advice from Norris, J.* regarding client inquiry.	
1315	9/21/2011 6:54:56 PM	Norris, Jonathan*+;Holden, Ian N+; Boomgaardt, Rick	Boomgaardt, Rick+; Norris, Jonathan*	Norris, Jonathan*		Attorney-Client	Email in connection with seeking legal advice from Norris, J.* regarding client inquiry.	
1316	9/21/2011 8:14:22 PM	Norris, Jonathan*+;Holden, Ian N+; Boomgaardt, Rick	Holden, Ian N+; Norris, Jonathan*	Boomgaardt, Rick+; Norris, Jonathan*		Attorney-Client	Email in connection with seeking legal advice from Norris, J.* regarding client inquiry.	
1317	9/22/2011 4:52:08 AM	Norris, Jonathan*+;Holden, Ian N+; Boomgaardt, Rick	Holden, Ian N+; Norris, Jonathan*	Boomgaardt, Rick+; Norris, Jonathan*		Attorney-Client	Email in connection with seeking legal advice from Norris, J.* regarding client meeting.	
1318	9/22/2011 5:18:28 PM	Sokolova, Denisa+; Holden, Ian	Holden, Ian N+; Sokolova, Denisa	Norris, Jonathan*+; Norris, Jonathan*		Attorney-Client	Email providing information for the purpose of obtaining legal advice from Norris, J.* regarding contracts/agreements.	
1319	9/22/2011 6:18:00 PM					Attorney-Client	Spreadsheet discussing information necessary for regulation by bank examiner with Norris, J.* regarding contracts/agreements.	
1320	9/23/2011 1:42:32 PM	Norris, Jonathan*+; Holden, Ian; Woodward, R.B.*	Holden, Ian N+; Norris, Jonathan*;	Norris, Jonathan*, Holden, Ian		Attorney-Client	Email requesting information for the purpose of rendering legal advice of Norris, J.* regarding corporate policy.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
1321	9/23/2011 2:41:00 PM					Attorney-Client	Spreadsheet in connection with seeking legal advice from Norris, J.* regarding corporate policy.	
1862	3/30/2011 2:55:39 PM	Manzi, Vincent M + Pennings, Edward + Scully, Anthony +	+ Bryant, Tom + Mcgroarty, Stephen + Manzi, Vincent + Pennings, Edward + Scully, Anthony +	Holden, Ian N + Hansen, Mark R *+ Bryant, Tom + Pennings, Edward +		Attorney-Client; Work-Product	Email rendering legal advice of Hansen, M* regarding fund transfer and in anticipation of litigation.	
1949	8/30/2011 5:13:46 PM	Pennings, Edward + Robbie, John *+ Scully, Anthony + Norris, Jonathan *+	Robbie, John *+ Norris, Jonathan *+ Pennings, Edward + Holden, Ian + Engelken, Scott +	Holden, Ian + Scully, Anthony + Ralph, Nicholas + Sheerin, Michael +		Attorney-Client; Work-Product	Email reflecting legal advice of Robbie, J.* regarding Rebate Agreement and in anticipation of litigation.	
1950	8/30/2011 4:53:44 PM					Work-Product	Draft Rebate Agreement reflecting legal advice of Legal Department regarding Draft Rebate Agreement in anticipation of litigation.	
1954	9/23/2011 10:57:26 AM	Holden, Ian +	Norris, Jonathan *+	Norris, Jonathan *+		Attorney-Client	Email reflecting request for information for the purpose of rendering legal advice of Norris, J.* regarding European Executions and in anticipation of litigation.	
2053	11/2/2010 10:15:34 AM					Attorney-Client	Amendment to TMA reflecting legal advice of Lewis, S.*; Beck, K.*; Paul, S.*; McCormack, J.*; McKay, M.*; regarding Amendment to SS Euro TMA.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
2130	11/5/2010 4:56:55 PM					Attorney-Client	Amendment to TMA reflecting legal advice of Beck, K.*; Lewis, S.*; McKay, M.*; McCormack, J.; regarding Amendment to UK TMA.	
2159	4/19/2011 7:10:29 PM	Norris, Jonathan*; Woodard, Bryan*; Reilly, Noel*; Fucci, Joseph; Paul, Simone*; Robbie, John;	Mckay, Melissa A+*;	McLellan, Ross+; McCormack, Justin*; Woodard, Bryan*;		Attorney-Client	Email requesting and rendering legal advice of McKay, M.*; Woodard, B.*; McCormack, J.*; Reilly, N.*; regarding TMAs in Great Britain.	
2161	4/19/2011 7:29:49 PM	McLellan, Ross+; Norris, Jonathan*; Woodard, Bryan*; Reilly, Noel*; Fucci, Joseph; Paul, Simone*; Robbie, John;	Mckay, Melissa A+*; Noriss, Jonathan*;	McLellan, Ross; McCormack, Justin*; Woodard, Bryan*;		Attorney-Client	Email requesting and rendering legal advice of McKay, M.*; Woodard, B.*; McCormack, J.*; Reilly, N.*; regarding TMAs in England.	
2311	9/22/2011 7:54:51 AM	Boomgaardt, Rick+; Norris, Jonathan*; Holden, Ian	Norris, Jonathan*+; Boomgaardt, Rick			Attorney-Client	Email discussing request for legal advice from Norris, J.* regarding corporate business.	
2315	9/26/2011 5:47:24 PM	Boomgaardt, Rick+; Graham Dixon	Norris, Jonathan*+; Boomgaardt, Rick	Norris, Jonathan*+; Pennings, Edward		Attorney-Client	Email requesting information for the purpose of rendering legal advice of Norris, J.* regarding corporate business.	
2316	9/26/2011 6:29:24 PM	Norris, Jonathan*+; Boomgaardt, Rick; Graham Dixon	Boomgaardt, Rick+; Norris, Jonathan*	Pennings, Edward; Norris, Jonathan		Attorney-Client	Email providing information for the purpose of obtaining legal advice from Norris, J.* regarding corporate business	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
2393	11/3/2010 1:29:26 PM	Paul, S.*+	Pennings, E.+			Attorney-Client	Email providing information for the purpose of obtaining legal advice from Paul, S.*+ regarding periodic notice	
2394	11/3/2010 1:29:26 PM	Paul, S.*+	Pennings, E.+			Attorney-Client	Document in connection with seeking legal advice from Paul, S.*+ regarding periodic notice	
2601	9/14/2011 4:05:02 PM	Woodard, R. Bryan+*; L'Heveder, Carol+*; Orton, Simon+*; Wortley, Paul+*; Norris, Jonathan*; Di Mascio, Rick; Boomgaardt, Rick; Dixon, Graham; McKnight, Ian M	Norris, Jonathan+*; Scully, Anthony; McKnight, Ian M; Di Mascio, Rick; Boomgaardt, Rick; Dixon, Graham	Oliver, Robin; Pennings, Edward; Scully, Anthony; Di Mascio, Rick; McKnight, Ian M		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from Woodard, R. *, L'Heveder, C. *, Orton, S. *, and Wortley, P. * regarding information requests by Analytics and in anticipation of litigation.	
2602	9/15/2011 6:22:49 PM	L'Heveder, Carol+*; Woodard, R. Bryan+*; Hansen, Mark R+*; Scully, Anthony+; Oliver, Robin+; Orton, Simon+*; Wortley, Paul+*; Norris, Jonathan*; Boomgaardt, Rick	Norris, Jonathan+*; Boomgaardt, Rick; Dixon, Graham	Di Mascio, Rick; McKnight, Ian M		Attorney-Client; Work Product	Email providing information for the purpose of obtaining legal advice from Woodard, R. *, L'Heveder, C. *, Orton, S. *, and Wortley, P. * regarding information requests by Analytics and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
2603	9/15/2011 12:43:06 PM					Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from Woodard, R.*, L'Heveder, C.*, Orton, S.*, and Wortley, P.* regarding information requests by Inalytics and in anticipation of litigation.	
2604	9/13/2011 4:30:00 PM					Attorney-Client; Work Product	Spreadsheet providing information for the purpose of obtaining legal advice from Woodard, R.*, L'Heveder, C.*, Orton, S.*, and Wortley, P.* regarding information requests by Inalytics and in anticipation of litigation.	
2609	9/20/2011 7:39:53 PM	Norris, Jonathan+*; Wortley, Paul+*; Orton, Simon*; Wortley, Paul*; Norris, Jonathan*; Woodard, R. Bryan*	Orton, Simon+*; Norris, Jonathan*; Boomgaardt, Rick	Hayes, Oliver+*; Woodard, R. Bryan+*; Holden, Ian N		Attorney-Client	Email requesting and rendering legal advice of Norris, J.*, Wortley, P.*, Hayes, O.*, Woodard, R.*, and Orton, S.* regarding European executions with commission data.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
2610	9/24/2011 11:30:50 AM	Norris, Jonathan+*; Wortley, Paul*; Orton, Simon*; Sokolova, Denisa; Vernon, Samina	Woodard, R. Bryan+*; Orton, Simon*; Norris, Jonathan*; Vernon, Samina; Sokolova, Denisa			Attorney-Client; Work-Product	Email requesting and rendering legal advice of Norris, J.*, Woodard, R.*, Orton, S.*, Wortley, P.*, and Hayes, O.* regarding disclosure of pre-trade analysis information and in anticipation of litigation.	
2652	9/12/2011 8:57:28 PM	Orton, Simon+*; Wortley, Paul+*; Leaden, Mark; Scully, Anthony; Norris, Jonathan*; Pennings, Edward; Boomgaardt, Rick	Norris, Jonathan+*; Pennings, Edward; Boomgaardt, Rick; Dixon, Graham	Norris, Jonathan+*; Leaden, Mark+; McLellan, Ross; McKnight, Ian M; Di Mascio, Rick		Attorney-Client; Work-Product	Email requesting legal advice from Norris, J.*, Orton, S.*, and Wortley, P.* regarding information requests from Inalytics and in anticipation of litigation.	
2654	9/15/2011 1:17:59 PM	Norris, Jonathan+*; Boomgaardt, Rick	Boomgaardt, Rick+; Dixon, Graham			Attorney-Client; Work-Product	Email requesting legal advice from Norris, J.* regarding information requests from Inalytics and in anticipation of litigation.	
2655	9/15/2011 12:43:06 PM					Attorney-Client; Work-Product	Spreadsheet in connection with seeking legal advice from Norris, J.* regarding information requests from Inalytics and in anticipation of litigation.	
2656	9/13/2011 4:30:00 PM					Attorney-Client; Work-Product	Spreadsheet in connection with seeking legal advice from Norris, J.* regarding information requests from Inalytics and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
2657	9/15/2011 6:23:56 PM	Norris, Jonathan+*; L'Heveder, Carol*; Woodard, R. Bryan*; Hansen, Mark R*; Scully, Anthony; Oliver, Robin; Orton, Simon*; Wortley, P*; Boomgaardt, Rick	Norris, Jonathan+*; Boomgaardt, Rick; Dixon, Graham			Attorney-Client;Work-Product	Email requesting legal advice from Norris, J.*, L'Heveder, C.*, Hansen, M.*, Orton, S.*, and Wortley, P.* regarding information requests from Inalytics and in anticipation of litigation.	
2658	9/21/2011 12:25:41 PM	Orton, Simon+*; Sokolova, Denisa; Leaden, Mark; Norris, Jonathan*; Boomgaardt, Rick	Sokolova, Denisa+; Leaden, Mark; Orton, Simon*; Norris, Jonathan*; Boomgaardt, Rick	Wortley, Paul+*; Norris, Jonathan+*; Sokolova, Denisa		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Norris, J.*, Orton, S.*, and Wortley, P.* regarding response to transition management query and in anticipation of litigation.	
2661	9/23/2011 6:17:26 PM	Orton, Simon+*; Wortley, Paul+*; Sokolova, Denisa; Vernon, Samina	Norris, Jonathan+*; Vernon, Samina; Sokolova, Denisa	Hayes, Oliver+*; Norris, Jonathan+*; Boomgaardt, Rick; Wortley, Paul*		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Orton, S.*, Wortley, P.*, Hayes, O.*, and Norris, J.* regarding disclosure of pre-trade analysis information and in anticipation of litigation.	
2662	9/23/2011 6:18:44 PM	Sokolova, Denisa+; Vernon, Samina	Norris, Jonathan+*; Vernon, Samina; Sokolova, Denisa; Orton, Simon*	Norris, Jonathan+*; Boomgaardt, Rick; Wortley, Paul*		Attorney-Client;Work-Product	Email requesting and rendering legal advice of Orton, S.*, Wortley, P.*, Hayes, O.*, and Norris, J.* regarding disclosure of pre-trade analysis information and in anticipation of litigation.	



Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
2663	9/24/2011 8:13:52 AM	Norris, Jonathan+*; Wortley, Paul+*; Orton, Simon*; Sokolova, Denisa; Vernon, Samina	Orton, Simon+*; Norris, Jonathan*; Vernon, Samina; Sokolova, Denisa	Hayes, Oliver+*; Woodard, R. Bryan+*; Norris, Jonathan*; Boomgaardt, Rick; Wortley, Paul*		Attorney-Client; Work-Product	Email requesting and rendering legal advice of Orton, S.*, Wortley, P.*, Hayes, O.*, Woodard, R.*, and Norris, J.* regarding disclosure of pre-trade analysis information and in anticipation of litigation.	
2664	9/26/2011 11:49:44 AM	Boomgaardt, Rick+; Choudhary, Adnan; Liddy, Eamonn	Waller, Cassie+; Williams, Andrew; Choudhary, Adnan; Liddy, Eamonn	Norris, Jonathan+*; Sunmonu, Rafiel+*; Littlewood, Marc; Waller, Cassie; Liddy, Eamonn; Williams, Andrew		Attorney-Client	Email requesting legal advice from Norris, J.*, and Sunmonu, R.*, regarding transition management agreement transition notices.	
2665	9/26/2011 12:48:00 PM					Attorney-Client	Draft transition notice in connection with seeking legal advice from Norris, J.*, and Sunmonu, R.*, regarding transition management agreement.	
2666	9/26/2011 12:48:00 PM					Attorney-Client	Draft transition notice in connection with seeking legal advice from Norris, J.*, and Sunmonu, R.*, regarding transition management agreement.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
2667	9/26/2011 12:48:00 PM					Attorney-Client	Draft transition notice in connection with seeking legal advice from Norris, J.*, and Sunmonu, R.*, regarding transition management agreement.	
2668	9/26/2011 12:25:00 PM					Attorney-Client	Draft transition notice in connection with seeking legal advice from Norris, J.*, and Sunmonu, R.*, regarding transition management agreement.	
2886	3/15/2011 9:52:12 AM	Paul, Simone*+, Pennings, E.	Pennings, Edward+, Wong, E.*	Beck, Krystyna*+, Singson, C., Macleod, P., Chezard, A., Cowell, S.	Woodard, R. Bryan*+	Attorney-Client	Email requesting and rendering legal advice of Beck, K.*, Woodard, B.*, Paul, S.*, Wong, E.* regarding draft transaction agreement.	
3077	9/15/2011 6:45:25 AM	Norris, J.*+; Boomgaardt, R.	Boomgaardt, R.+; Norris, J.*	Norris, J.*		Attorney-Client	Email requesting and rendering legal advice of Norris, J.* regarding corporate transition procedures.	
3255	11/2/2010 9:54:06 PM	McLellan, Ross+	Bryant, Tom +	Carlin, Chris+; Pennings, Edward+		Attorney-Client	Email discussing legal advice of Woodard, Bryan; McKay, Melissa; McCormack, Justin regarding provisions in TMA in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3256	11/2/2010 9:57:20 PM	McLellan, Ross+;Pennings, Edward+;Carlin, Chris+; Paul, Simone+*; Beck, Krystyna+*	Bryant, Tom +; McKay, Melissa A+*	Woodard, R. Bryan+*; Carlin, Chris+; Bryant, Tom+; Berntsen, Even+; Pennings, Edward+; Bliss, Stephen+*; Manzi, Vincent+; Scully, Anthony+; McCormack, Justin+*		Attorney-Client	Email discussing legal advice of Woodard, Bryan: Mckay, Melissa; Paul Simone; Beck, Krystyna; Bliss, Stephen: McCormack, Justin regarding review of TMA in anticipation of litigation.	
3257	11/2/2010 10:01:31 PM	Bryant, Tom+;Pennings, Edward+;Carlin, Chris+; McLellan, Ross+; Paul, Simone+*, Beck, Krystyna+*	McLellan, Ross +; McKay, Melissa A+*; Bryant, Tom+	Woodard, R. Bryan+*; Carlin, Chris+; Bryant, Tom+; Berntsen, Even+; Pennings, Edward+; Bliss, Stephen+*; Manzi, Vincent+; Scully, Anthony+; McCormack, Justin+*		Attorney-Client	Email reflecting legal advice of Mckay, Melissa; Paul, Simone; Beck, Krystyna; Woodard, Bryan; Bliss, Stephen: McCormack, Justin regarding review of TMA in anticipation of litigation.	
3258	11/2/2010 10:10:54 PM	McLellan, Ross+; Paul, Simone+*; Beck, Krystyna+*	Pennings, Edward +; McKay, Melissa+*	Woodard, R. Bryan+*; Carlin, Chris+; Bryant, Tom+; Berntsen, Even+; Pennings, Edward+; Bliss, Stephen+*; Manzi, Vincent+; Scully, Anthony+; McCormack, Justin+*		Attorney-Client	Email requesting legal advice from Mckay, Melissa; Paul, Simone; Beck, Krystyna; Woodard, Bryan; Bliss, Stephen: McCormack, Justin regarding review of TMA in anticipation of litigation.	
3259	11/2/2010 10:19:44 PM	Pennings, Edward+; McLellan, Ross+; Paul, Simone+*; Beck, Krystyna+*	McLellan, Ross +; McKay, Melissa A+*; Pennings, Edward+	Woodard, R. Bryan+*; Carlin, Chris+; Bryant, Tom+; Berntsen, Even+; Pennings, Edward+; Bliss, Stephen+*; Manzi, Vincent+; Scully, Anthony+; McCormack, Justin+*		Attorney-Client	Email requesting legal advice from Paul, Simone, Beck, Krystyna; woard, Bryan;Bliss, Stephen;McCormack, Justin;Mckay, Melissa regarding fixed income trades under TMA in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3260	11/2/2010 10:46:08 PM	McLellan, Ross+; Paul, Simone+*; Beck, Krystyna+*	Mckay, Melissa A +*	Woodard, R. Bryan+*; Carlin, Chris+; Bryant, Tom+; Berntsen, Even+; Pennings, Edward+; Bliss, Stephen+*; Manzi, Vincent+; Scully, Anthony+; McCormack, Justin+*		Attorney-Client	Email reflecting legal advice of Mckay, Melissa;Paul, Simone; Beck, Krystyna, Woodard, Bryan;Bliss, Stephen: McCormack, Justin regarding review of TMA in anticipation of litigation.	
3261	11/2/2010 11:05:31 PM	McLellan, Ross+;Pennings, Edward+; Paul, Simone+*; Beck, Krystyna+*	Pennings, Edward +; McLellan, Ross+; McKay, Melissa+*	Woodard, R. Bryan+*; Carlin, Chris+; Bryant, Tom+; Berntsen, Even+; Pennings, Edward+; Bliss, Stephen+*; Manzi, Vincent+; Scully, Anthony+; McCormack, Justin+*		Attorney-Client	Email reflecting legal advice of Mckay, Melissa; Paul, Simone; Beck, Krystyna; Woodard, Brian; Bliss, Stephen; McCormack, Justin regarding fixed income trade provisions in TMA in anticipation of litigation.	
3262	11/2/2010 11:17:08 PM	Pennings, Edward+; Paul, Simone*+;Beck, Krystyna*+; McLellan, Ross+	McLellan, Ross+; Mckay, Melissa*+; Pennings, Edward+	Woodard, Brian*+; Carlin, Chris+; Bryant, Tom+; Berntsen, Even+; Pennings, Edward+; Bliss, Stephen*+; Manzi, Vincent+; Scully, Anthony+; McCormack, Justin*+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Mckay, M*, Paul, S*, Beck, K*, McCormack, J* regarding Transition management agreement.	
3263	11/2/2010 11:19:01 PM	McLellan, Ross+; Paul, Simone*+; Beck, Krystyna*+; Pennings, Edward+	Pennings, Edward+; Mckay, Melissa+*; McLellan, Ross+	Woodard, Brian*+; Carlin, Chris+; Bryant, Tom+; Berntsen, Even+; Pennings, Edward+; Bliss, Stephen*+; Manzi, Vincent+; Scully, Anthony+; McCormack, Justin*+		Attorney-Client	Email chain from counsel reflecting request for legal advice from Mckay, M*, Paul, S*, Beck, K*, Woodard, B*, McCormack, J* regarding Transition management agreement - [REDACTED]	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3264	11/2/2010 11:22:06 PM	Woodard, R. Bryan*+	McLellan, Ross+	Pennings, Edward+; Carlin, Chris+		Attorney-Client	Email reflecting request for legal advice from Woodard, B* regarding Transition management notice - Kuwait.	
3265	10/26/2010 8:32:00 AM					Attorney-Client	PDF doc reflecting request for legal advice from Woodard, B* regarding Transition management notice - Kuwait.	
3266	11/2/2010 11:23:45 PM	McLellan, Ross+; Woodard, Bryan*+	Woodard, R. Bryan*+; McLellan, Ross+	Pennings, Edward+; ;Carlin, Chris+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B* regarding Transition management notice - Kuwait.	
3267	11/3/2010 12:06:36 AM	Woodard, R. Bryan*+; McLellan, Ross+	McLellan, Ross+; Woodard, R. Bryan*+	Pennings, Edward+; ;Carlin, Chris+; Beck, Krystyna*+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B*, Beck, K* regarding Transition management notice - Kuwait.	
3268	11/2/2010 11:57:40 PM					Attorney-Client	PDF doc reflecting request for legal advice from Woodard, B*, Beck, K* regarding Transition management notice - Kuwait.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3269	11/3/2010 9:49:13 AM	Woodard, R. Bryan*+; McLellan, Ross+; Pennings, Edward+	Pennings, Edward+; Woodard, R. Bryan*+	Carlin, Chris+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B*, Paul, S*, Beck, K* regarding Transition management - [REDACTED]	
3270	11/3/2010 10:22:14 AM	Pennings, Edward+; McLellan, Ross+; Woodard, R. Bryan*+	Woodard, R. Bryan*+; Pennings, Edward+	Carlin, Chris+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+; Pennings, Edward+		Attorney-Client	Email chain from counsel reflecting request for legal advice from Woodard, B*, Beck, K*, Paul, S* regarding Transition mangement notice.	
3271	11/3/2010 10:38:11 AM	Puth, David W+; Woodard, B*+; McLellan, Ross+	McLellan, Ross+ ; Woodard, B*+; Pennings, Edward+	Carlin, Chris+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+; Pennings, Edward+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B*, Paul, S*, Beck, K* regarding Transition mangement notice execution.	
3272	11/3/2010 10:42:32 AM	Hansen, Mark R+; Woodard, B*+	McLellan, Ross+; Pennings, Edward+	Carlin, Chris+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B*, Paul, S*, Beck, K* regarding Transition mangement notice execution.	
3273	11/3/2010 11:11:29 AM	McLellan, Ross+; Woodard, Bryan*+	Hansen, Mark R+	Carlin, Chris+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Hansen, M*, Woodard, B*, Paul, S*, Beck, K* regarding Transition mangement notice execution.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3274	11/3/2010 11:30:23 AM	Pennings, Edward+; Woodard, R. Bryan*+; McLellan, Ross+	Beck, Krystyna*+; Pennings, Edward+; Woodard, R. Bryan*+	Pennings, Edward+; Carlin, Chris+; Paul, Simone*+; Bryant, Tom+; Scully, Anthony+; Beck, Krystyna*+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B*, Beck, K*, Paul, S* regarding Transition mangement notice.	
3275	11/2/2010 9:54:26 PM	Paul, Simone*+; Beck, Krystyna*+	Mckay, Melissa*+	Woodard, R. Bryan*+; Carlin, Chris+; Bryant, Tom+; Berntsen, Even+; Pennings, Edward+; Bliss, Stephen L*+; Manzi, Vincent M+; Scully, Anthony+; Mccormack, Justin A*+		Attorney-Client	Email from counsel to counsel reflecting request for legal advice from Mckay, M*, Paul, S*, Beck, K*, Woodard, B*, Mccormack, J* regarding Transition management agreement - [REDACTED]	
3276	11/3/2010 1:36:48 PM	McLellan, Ross+; Woodard, Brian*+; McLellan, Ross	Pennings, Edward+; Paul, Simone*+; Woodard, Brian*+; Beck, Krystyna*+	Woodard, Brian*+; Mckay, Melissa*+; Lewis, SarahJane*+; Beck, Krystyna*+; Berntsen, Even+; DeVolder, Gregg+; Carlin, Chris+; Bryant, Tom+; Scully, Anthony+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B*, Paul, S*, Beck, K*, Lewis, S* regarding Notice execution.	
3277	11/3/2010 1:42:51 PM	Pennings, Edward+; Paul, Simone*+; McLellan, Ross; Woodard, Brian*+	McLellan, Ross+; Pennings, Edward+; Paul, Simone*+; Woodard, Brian*+; Beck, Krystyna*+	Woodard, Brian*+; Mckay, Melissa*+; Lewis, SarahJane*+; Beck, Krystyna*+; Berntsen, Even+; DeVolder, Gregg+; Carlin, Chris+; Bryant, Tom+; Scully, Anthony+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B*, Paul, S*, Beck, K*, Lewis, S* regarding Notice execution.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3278	11/3/2010 1:56:23 PM	McLellan, Ross+; Paul, Simone*+; Woodard, Brian*+; Pennings, Edward+	Pennings, Edward+; Paul, Simone*+; Woodard, Brian*+; McLellan, Ross+	Woodard, Brian*+; Mckay, Melissa*+; Lewis, SarahJane*+; Beck, Krystyna*+; Berntsen, Even+; DeVolder, Gregg+; Carlin, Chris+; Bryant, Tom+; Scully, Anthony+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B*, Paul, S*, Beck, K* regarding Transition management agreement [REDACTED]	
3282	11/3/2010 4:07:25 PM	Woodard, R. Bryan*+; Paul, Simone*+; Pennings, Edward+; McLellan, Ross+	Pennings, Edward+; Woodard, Brian*+; Paul, Simone*+; Beck, Krystyna*+	Mckay, Melissa A*+; Lewis, SarahJane*+; Beck, Krystyna*+; Berntsen, Even+; DeVolder, Gregg S+; McLellan, Ross+; Carlin, Chris+; Bryant, Tom+; Scully, Anthony+		Attorney-Client	Email chain to counsel requesting and rendering legal advice of Woodard, B*, Paul, S*, Beck, K*, Lewis, S* regarding Transition management [REDACTED]	
3289	11/3/2010 1:55:50 PM	Paul, Simone*+; Pennings, Edward+; Woodard R. Bryan*+; McLellan, Ross	Pennings, Edward+; Paul, Simone*+; Beck, Krystyna*+	Woodard, R. Bryan*+; ;Mckay, Melissa A*+; Lewis, SarahJane*+; Beck, Krystyna*+; Pennings, Edward+; Carlin, Chris+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+; Scully, Anthony; Berntsen, Even+; DeVolder, Gregg S.+		Attorney-Client	Email chain to counsel requesting and rendering legal advice of Woodard, B*, Paul, S*, Beck, K*, Lewis, S* regarding Transition management [REDACTED]	
3290	11/3/2010 1:54:05 PM	Pennings, Edward+; Woodard R. Bryan*+; McLellan, Ross+	Paul, Simone*+ ; Woodard R. Bryan*+; McLellan, Ross+ ; Beck, Krystyna*+	Woodard, R. Bryan*+; ;Mckay, Melissa A*+; Lewis, SarahJane*+; Beck, Krystyna*+; Pennings, Edward+; Carlin, Chris+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+; Scully, Anthony; Berntsen, Even+; DeVolder, Gregg S.+		Attorney-Client	Email chain to counsel requesting and rendering legal advice of Paul, S*, Mckay, M*, Woodard, B*, Beck, K* regarding Transition management [REDACTED]	



Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3294	11/3/2010 3:55:12 PM	Paul, Simone*+; Pennings, Edward+; Woodard R. Bryan*+; McLellan, Ross+	Woodard, R. Bryan*+; Beck, Krystyna*+; Paul Simone*+	Mckay, Melissa A*+; Lewis, SarahJane*+; Beck, Krystyna*+; Berntsen, Even+; DeVolder, Gregg S+; Bryant, Tom+; Carlin Chris+; Paul, Simone*+; Scully, Anthony+; McLellan, Ross+		Attorney-Client	Email chain from counsel reflecting request for legal advice from Woodard, B*, Mckay, M*, Lewis, S*, Beck, K* regarding Transition management agreement.	
3310	11/4/2010 4:42:34 PM	Bliss, Stephen L*+; McCormack, Justin A*+; Mckay, Melissa A*+	Carlin, Chris+	McLellan, Ross+; Weiner, Peter+; Manzi, Vincent M+; Hansen, Mark R*+		Attorney-Client	Email to counsel reflecting request for legal advice from Bliss, S*, McCormack, J*, McKay, M*, Hansen, M* regarding Transition managment.	
3424	11/3/2010 11:22:43 AM	Pennings, Edward+; Woodard, Bryan*+; McLellan, Ross+	Carlin, Chris+; Pennings, Edward+; Woodard, Bryan*+	Carlin, Chris+; Pennings, Edward+; Woodard, Bryan*+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B*, Paul, S*, Beck, K* regarding Transition management Notice.	
3425	11/3/2010 11:34:35 AM	Carlin, Chris+; Pennings, Edward+; Woodard, Bryan*+; McLellan, Ross+	Pennings, Edward+; Carlin, Chris+; Woodard, Bryan*+	Carlin, Chris+; Pennings, Edward+; Woodard, Bryan*+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+		Attorney-Client	Email to counsel requesting and rendering legal advice of Woodard, B*, Paul, S*, Beck, K* regarding contract/agreement.	
3426	11/3/2010 11:41:24 AM	Pennings, Edward+; Woodard, Bryan*+; McLellan, Ross+	Carlin, Chris+; Pennings, Edward+; Woodard, Bryan*+	Carlin, Chris+; Pennings, Edward+; Woodard, Bryan*+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+		Attorney-Client	Email to counsel reflecting request for legal advice from Woodard, B*, Paul, S*, Beck, K* regarding Transition management Notice.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3427	11/3/2010 11:43:37 AM	Carlin, Chris+; Pennings, Edward+; Woodard, Bryan*+; McLellan, Ross+	Pennings, Edward+; Carlin, Chris+; Woodard, Bryan*+	Carlin, Chris+; Pennings, Edward+; Woodard, Bryan*+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B*, Paul, S*, Beck, K* regarding Notice execution.	
3428	11/3/2010 11:45:37 AM	Pennings, Edward+; Woodard, Bryan*+; McLellan, Ross+	Carlin, Chris+; Pennings, Edward+; Woodard, Bryan*+	Carlin, Chris+; Pennings, Edward+; Woodard, Bryan*+; Paul, Simone*+; Beck, Krystyna*+; Bryant, Tom+		Attorney-Client	Email chain to counsel reflecting request for legal advice from Woodard, B*, Paul, S*, Beck, K* regarding Transition management Notice.	
3429	11/3/2010 1:19:20 PM	Pennings, Edward+; Woodard, Bryan*+; McLellan, Ross+	Paul, Simone*+; Beck, Krystyna*+; Pennings, Edward+; Woodard, Bryan*+; McLellan, Ross+	Woodard, R. Bryan*+; Mckay, Melissa A*+; Lewis, SarahJane*+; Beck, Krystyna*+; Berntsen, Even+; DeVolder, Gregg S+; Pennings, Edward+; Carlin, Chris+; Paul, Simone*+; Bryant, Tom+		Attorney-Client	Email from counsel reflecting request for legal advice from Woodard, B*, Paul, S*, Beck, K*, Mckay, M*, Lewis, S* regarding Transition management agreement.	
3430	11/3/2010 2:33:17 PM	Smit, Stephen C+; Pennings, Edward+; Woodard, Bryan*+; McLellan, Ross+	Pennings, Edward+; Paul, Simone*+; Beck, Krystyna*+; Woodard, Bryan*+; McLellan, Ross+	Woodard, R. Bryan*+; Mckay, Melissa A*+; Lewis, SarahJane*+; Beck, Krystyna*+; Berntsen, Even+; DeVolder, Gregg S+; Pennings, Edward+; Carlin, Chris+; Paul, Simone*+; Bryant, Tom+		Attorney-Client	Email chain to counsel reflecting legal advice of Woodard, B*, Beck, K*, Paul, S*, Lewis, S* regarding Transition management agreement.	
3441	11/3/2010 12:04:00 PM					Attorney-Client	Agreement document reflecting request for legal advice from Lewis, S*, Paul, S* regarding Transition management agreement.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3487	9/5/2011 16:51	McLellan, R.+	Phelan, D.*+	Woodard, R. Bryan*+		Attorney-Client	Email rendering legal advice of Phelan, D.*+ regarding transition management and in anticipation of litigation.	
3489	9/5/2011 20:43	McLellan, R.+	Woodard, R. Bryan*+			Attorney-Client	Email rendering legal advice of Woodard,R. Bryan*+*+ regarding transition management.	
3490	9/5/2011 20:44	Woodard, R. Bryan*+	McLellan, R.+			Attorney-Client	Email in connection with seeking legal advice from Woodard, R. Bryan*+*+ regarding transition management.	
3491	9/5/2011 21:07	McLellan, R.+	Woodard, R. Bryan*+			Attorney-Client	Email rendering legal advice of Woodard,R. Bryan*+*+ regarding request forproposal.	
3492	9/5/2011 21:12	McLellan, R.+	Woodard, R. Bryan*+			Attorney-Client	Email reflecting thoughts and impressions of Woodard, R. Bryan*+*+ regarding request for proposal.	
3493	9/5/2011 21:23	Woodard, R. Bryan*+	McLellan, R.+			Attorney-Client	Email providing information for the purpose of obtaining legal advice from Woodard, R. Bryan*+*+ regarding request for proposal.	
3494	9/5/2011 21:24	Woodard, R. Bryan*+	McLellan, R.+			Attorney-Client	Email requesting legal advice from Woodard, R. Bryan*+*+ regarding request for proposal.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3495	9/5/2011 21:24	Woodard, R. Bryan*+	McLellan, R.+			Attorney-Client	Email providing information for the purpose of obtaining legal advice from Woodard, R. Bryan*+*+ regarding request for proposal.	
3496	9/5/2011 21:24	McLellan, R.+	Woodard, R. Bryan*+			Attorney-Client	Email rendering legal advice of Woodard,R. Bryan*+*+ regarding request forproposal.	
3553	9/9/2011 13:30	Woodard, R. Bryan*+;Hansen, M.*+	McLellan, R.+			Attorney-Client	Email requesting legal advice from Woodard, R. Bryan*+*+;Hansen, M.*+ regarding client communications and in anticipation of litigation.	
3554	9/9/2011 13:31	McLellan, R.+;Hansen, M.*+	Woodard, R. Bryan*+			Attorney-Client	Email rendering legal advice of Woodard,R. Bryan*+*+ regarding client communications and in anticipation of litigation.	
3555	9/9/2011 13:49	Woodard, R. Bryan*+;McLellan, R.+	Hansen, M.*+			Attorney-Client	Email rendering legal advice of Hansen, M.*+ regarding client communications and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3663	11/30/2010 18:51	Carlin, Chris + Pennings, Edward + McGee,Paul + Beck,Krystyna *+ Fitzgerald,Craig + Paul,Simone *+ Ralph,Nicholas + Scully,Anthony + Weiner, Peter + McCormack,Justin *+	Pennings, Edward + Carlin, Chris + McGee,Paul + Beck,Krystyna *+ Fitzgerald,Craig + Ralph,Nicholas + Weiner,Peter +	Ralph,Nicholas + Weiner,Peter + Pennings,Edward + McNichol,Thomas + Fitzgerald,Craig + Simone,Paul *+ Hansen,Mark *+ McGee,Paul +		Attorney-Client;Work-Product	Email requesting legal advice from Beck,K*,Paul,S*,Hansen,M* and McCormack,J* regarding FSA Registration Requirments and in anticipation of litigation.	
3800	8/25/2011 11:42					Work-Product	Proposed Draft TMA reflecting legal advice of SSBE Legal Department regarding proposed Draft TMA in anticipation of litigation.	
3801	8/25/2011 11:41					Work-Product	Proposed Draft TMA reflecting legal advice of SSBE Legal Department regarding proposed Draft TMA in anticipation of litigation.	
3827	9/5/2011 15:01					Attorney-Client;Work-Product	Conflict of Interest Policy reflecting legal advice of SSGM Legal Department regarding SSGM Conflict of Interest Policy and in anticipation of litigation.	
3913	9/5/2011 15:01					Work-Product	Conflicts of Interest Policy reflecting legal advice of Legal Department regarding Conflicts of Interest Policy in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3922	9/26/2011 12:21	Norris, Jonathan *+ Boomgaardt,Rick + Choudhary,Adnan +	Boomgaardt, Rick + Waller,Cassie + Williams,Andrew + Choudhary,Adnan + Liddy,Eamonn +	Sunmonu, Rafael *+ Waller, Cassie + Littlewood,Marc + Liddy,Eamonn + Williams,Andrew +		Attorney-Client;Work-Product	Email requesting legal advice from Norris,J* and Sunmonu,R* regarding TMA Transition Notice and in anticipation of litigation.	
3928	9/26/2011 14:09	Norris, Jonathan *+ Sunmonu, Rafael *+ Boomgaardt,Rick + Choudhary,Adnan + Liddy, Eamonn +	Waller, Cassie + Williams,Andrew + Choudhary,Adnan + Liddy,Eamonn +	Boomgaardt, Rick + Norris, Jonathan *+ Sunmonu,Rafiel *+ Littlewood,Marc + Waller,Cassie + Liddy,Eamonn + Williams,Andrew +		Attorney-Client	Email requesting legal advice from Norris,J*,Sunmonu,R* and Choudhary,A* regarding TMA Transition Notice question and in anticipation of litigation.	
3932	9/26/2011 15:34					Attorney-Client;Work-Product	Draft Form of Transition Notice reflecting legal advice of SSBE Legal Department regarding Draft Form of Transition Notice and in anticipation of litigation.	
3933	9/26/2011 15:27					Attorney-Client;Work-Product	Draft Form of Transition Notice reflecting legal advice of SSBE Legal Department regarding Draft Form of Transition Notice and in anticipation of litigation.	
3934	9/26/2011 14:45	Waller, Cassie + Norris, Jonathan *+ Sunmonu,Rafiel *+ Boomgaardt,Rick + Choudhary,Adnan + Liddy,Eamonn +	Sunmonu, Rafael *+ Waller,Cassie + Williams,Andrew + Choudhary,Adnan + Liddy,Eamonn +	Boomgaardt, Rick +	Boomgaa rdt,Rick + Norris,Jo nathan *+ Sunmonu ,Rafiel *+ Littlewoo d,Marc + Waller,C assie + Liddy,Ea monn + Williams, Andrew +	Attorney-Client;Work-Product	Email reflecting legal advice of Sunmonu,R* and Norris,J* regarding TMA Transition Notice and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3935	9/26/2011 15:44					Attorney-Client;Work-Product	Draft Form of Transition Notice reflecting legal advice of SSBE Legal Department regarding Draft Form of Transition Notice and in anticipation of litigation.	
3936	9/26/2011 15:44					Attorney-Client;Work-Product	Draft Form of Transition Notice reflecting legal advice of SSBE Legal Department regarding Draft Form of Transition Notice and in anticipation of litigation.	
3937	9/26/2011 14:48	Norris, Jonathan + Sunmonu, Rafael*+ Williams,Andrew + Choudhary,Adnan + Liddy,Eamonn +	Waller, Cassie + Williams,Andrew + Choudhary,Adnan +	Boomgaardt, Rick + Littlewood,Marc + Liddy,Eamonn + Waller,Cassie + Williams,Andrew +		Attorney-Client;Work-Product	Email requesting legal advice from Norris,J* and Sunmonu,R* regarding TMA Transition Notice and in anticipation of litigation.	
3938	9/26/2011 15:44					Attorney-Client;Work-Product	Draft Form of Transition Notice reflecting legal advice of SSBE Legal Department regarding Draft Form of Transition Notice and in anticipation of litigation.	
3939	9/26/2011 12:48					Attorney-Client;Work-Product	Draft Form of Transition Notice reflecting legal advice of SSBE Legal Department regarding Draft Form of Transition Department and in anticipation of litigation.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3940	9/26/2011 12:48					Attorney-Client; Work-Product	Draft Form of Transition Notice reflecting legal advice of SSBE Legal Department regarding Draft Form of Transition Notice and in anticipation of litigation.	
3941	9/26/2011 15:41					Attorney-Client; Work-Product	Draft Form of Transition Notice reflecting legal advice of SSBE Form of Transition Notice regarding Draft Form of Transition Notice and in anticipation of litigation.	
3974	9/22/2011 16:24					Work-Product	Mediation Memorandum reflecting legal advice of Legal Department regarding mediation in anticipation of litigation.	
3980	9/22/2011 16:24					Work-Product	Mediation Memorandum reflecting legal advice of Legal Department regarding mediation in anticipation of litigation.	
3994	9/22/2011 16:24					Work-Product	Mediation Memorandum reflecting legal advice of Legal Department regarding mediation in anticipation of litigation.	



Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
3999	9/30/2011 16:02	Woodard, R. Bryan*+	Mckay, Melissa*+	Small, Kristin+; McLellan, Ross+; Fucci*+, Matthew+		Attorney-Client; Work-Product	Email reflecting legal advice of Mckay, M.*, Woodard, B.*, Fucci, M.* regarding confidential mediation statement and in anticipation of litigation.	
4000	9/30/2011 15:56					Work-Product	Word document reflecting legal advice of Legal Department regarding draft mediation memorandum and in anticipation of litigation.	
4099	9/23/2011 12:29	Vernon, Samina+; Sokolova, Denisa*	Sokolova, Denisa*+; Orton, Simon*	Boomgaardt, Rick+; Norris, Jonathan*+; Wortley, Paul*		Attorney-Client	Email reflecting request for legal advice from Sokolova, D.*, Norris, J.*, Orton, S.*, Wortley, P.* regarding pre-trade analysis question.	
4100	9/23/2011 14:00	Vernon, Samina+; Sokolova, Denisa*	Sokolova, Denisa*+; Vernon, Samina; Orton, Simon*	Boomgaardt, Rick; Norris, Jonathan*; Wortley, Paul*		Attorney-Client	Email discussing information necessary for regulation by bank examiner with Sokolova, D.*, Norris, J.*, Orton, S.*, Wortley, P.* regarding pre-trade analysis question.	
4103	9/23/2011 13:20	Sokolova, Denisa*+; Vernon, Samina	Vernon, Samina+; Sokolova, Denisa*; Orton, Simon*	Boomgaardt, Rick+; Norris, Jonathan*+; Wortley, Paul*		Attorney-Client	Email discussing information necessary for regulation by bank examiner with Norris, J.*, Sokolova, D.*, Orton, S.*, Wortley, P.* regarding pre-trade analysis.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
4219	8/26/2011 8:21					Attorney-Client	Buisness agreement document reflecting request for legal advice from Norris, Jonathan*+ regarding Transition managment agreement.	
4281	8/30/2011 10:31:27 PM	McLellan, Ross+	Woodard, R. Bryan*+			Attorney-Client	Email from counsel reflecting legal advice of Woodard, Brian*+ regarding Transition management	
4459	6/15/2010 16:34	Malik, F.+;Pennings, E.+;Boomgaardt, R.+	Appleford, R.*+	Paul, S.*+;McLellan, R.+;Anderson, K.+		Attorney-Client	Document rendering legal advice of Appleford, R.*+ regarding use of a transition manager.	
4724	7/19/2010 10:19	Paul, Simone*+; Pennings, Edward+; Joosub, Javeed; Graham Dixon; Boomgaardt, Rick	Lewis, SarahJane*+; Pennings, Edward; Joosub, Javeed; Graham Dixon	Allen, Tarnya+; Lewis, SarahJane*; Paul, Simone*; Joosub, Javeed; Rick Di Mascio; Pestana, Raymond; McGee, Paul; Graham Dixon		Attorney-Client	Email to Lewis, S.J.*, Paul, S.* regarding non disclosure and transiton management agreement discussion.	
5061	10/6/2010 11:19:31 AM	Lewis, SarahJane*+; Boomgaardt, Rick; Paul, Simone*	Boomgaardt, Rick+; Lewis, SarahJane *; Cormican, Ian;	Paul, Simone*+; Pestana, Raymond+; Wellsted, Clive; Melcer, Jerome; DiMascio, Rick; Martinm Mannion, Phillips, Paul; Graham, Dixon; MCElvanney:		Attorney-Client	Email requesting information for the purpose of rendering legal advice of Paul, S.* and Lewis, S.J.* regarding contract negotiations.	
5063	10/6/2010 12:02:47 PM	Boomgaardt, Rick+; Lewis, SarahJane*; Paul, Simone*;	Lewis, SarahJane*+; Boomgaardt, Rick; Cormican, Ian;	Paul, Simone*+; Pestana, Raymond; Wellsted, Clive, Melcer, Jerome; Di Mascio, Rick; Martin, Manion; Philips, Paull; Dixon, Graham; Mcelvanney, Robert		Attorney-Client	Email requesting and rendering legal advice of Paul, S.* and Lewis, S.J.* regarding contract negotiations.	

Privilege ID	Date Modified/Sent	To	From	CC	BCC	Basis for Withholding	Privilege Description	Redacted Bates Range, If Relevant
5067	10/6/2010 10:39:16 AM	Boomgaardt, Rick+; Paul, Simone; Lewis, SarahJane*	Lewis, SarahJane*+; Boomgaardt, Rick; Cormican, Ian;	Paul, Simone*; Wellsted, Clive; Melcer, Jerome; DiMascio, Rick; Mannion, Martin; Phillips, Paul; Dixon, Graham; Mcelvanney, Robert; Orpin, Gavin		Attorney-Client	Email requesting information for the purpose of rendering legal advice of Paul, S.* and Lewis, S.J.* regarding draft agreement.	
5902	1/26/2010 20:14	McLellan, Ross+; Carlin, Chris; Mckay, Melissa A*; Mihaly, Peter	Carlin, Chris+; McLellan, Ross; Mihaly, Peter; Dunn, Bruce C	Dunn, Bruce C, Newbold, Garold		Attorney-Client	Email reflecting request for legal advice from Mckay, M.* regarding contract/agreement.	